

March 25, 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. ER12-1179-000, ER12-1179-001,
ER12-1179-003, ER12-1179-00__
Informational Filing of Integrated Marketplace Readiness Metrics and
Reversion Plan

Dear Secretary Bose:

Pursuant to the Federal Energy Regulatory Commission's ("Commission") "Order Conditionally Accepting Tariff Revisions to Establish Energy Markets," issued on October 18, 2012 in this docket,¹ Southwest Power Pool, Inc. ("SPP") submits herein an informational filing detailing SPP's independently developed readiness metrics related to commercial operations readiness and reversion plan. SPP requests that the Commission accept this filing for informational purposes and advises the Commission that further refinements, if any, to the readiness metrics will be forthcoming. Further, SPP intends to file its readiness certification no later than sixty (60) days prior to the 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 transition from its current Real-Time Energy Imbalance Service ("EIS") Market to the SPP Integrated Marketplace in March 2014. As proposed, the Integrated Marketplace includes Day-Ahead and Real-Time Energy and Operating Reserve

¹ *Sw. Power Pool, Inc.*, 141 FERC ¶ 61,048 (2012) ("October 18 Order").

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").

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

Markets and Transmission Congestion Rights (“TCR”) Market aimed at maximizing the cost-effective utilization of energy Resources and the regional transmission system. In addition, SPP proposed formation of a new SPP Balancing Authority to consolidate and assume the responsibilities of the sixteen (16) separate Balancing Authority Areas currently operating within the SPP footprint, and a market power monitoring and mitigation plan based on conduct and impact thresholds. SPP requested a March 1, 2014 effective date for the implementation of the Integrated Marketplace.

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 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].”⁶ In addition, the October 18 Order established various negotiating, reporting, and post-market assessment requirements. 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.⁷

II. READINESS PLAN AND REVERSION PLAN

A. Readiness Plan

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.⁸ SPP’s Integrated Marketplace

⁴ SPP’s filing of a Readiness Plan and Reversion plan is consistent with the Commission’s guidance to SPP in establishing the 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 October 18 Order at P 2.

⁷ *See* October 18 Order at PP 1, 495-499.

⁸ Integrated Marketplace Filing at 59.

readiness efforts began in the fall of 2011 with a planning phase, and will continue through implementation of the market in March 2014. The readiness work is a comprehensive initiative between SPP staff, consultants and SPP market participants; and is designed to deliver the necessary support to prepare SPP market participants and SPP staff for the new systems and processes associated with the Integrated Marketplace.

In this filing, SPP provides informational material detailing its Integrated Marketplace Readiness Metrics which includes the independently developed readiness metrics related to commercial operations readiness. The readiness metrics are an integral part of the overall Readiness Plan. The Integrated Marketplace Readiness Metrics provide the inventory of the readiness metrics agreed by SPP staff and market participants; and describes the metrics applicable to SPP and market participants. The readiness metrics will measure, monitor, and report on the overall readiness of the Integrated Marketplace program.

The official program readiness metrics were identified as integral to ensure readiness for both the market participant and SPP. The readiness metrics measure activities such as SPP staffing and training, process/procedure development, and systems readiness. The metrics have been developed in multiple phases throughout the program lifecycle:

- Phase 1- Initial metrics were developed based on industry best practices, EIS Market readiness metrics, and input from various SPP business owners
- Phase 2- Updates included applicable connectivity or data exchange metrics
- Phase 3- Included structured/unstructured metrics
- Additional metrics may be added after the Market Trials and/or Parallel Operations are complete

The metrics are reviewed with market participant readiness liaisons as they are developed. The status of the metrics have been publicly reported on a quarterly basis beginning the third quarter of 2012, and will be reported monthly beginning the second quarter of 2013.⁹

⁹ Metrics are reported publicly at <https://cloudpal.idashboards.com/idashboards/?guestuser=2spp2>.

As stated above, the Readiness Plan's development is an ongoing effort between SPP, stakeholders and consultants engaged in the implementation of the Integrated Marketplace. Further refinements to the metrics, and other aspects of the Readiness Plan, will be provided to the Commission for review as developed. Additionally, SPP will provide updates to the Commission as necessary. Finally, SPP intends to file its readiness certification no later than sixty (60) days prior to the implementation of the Integrated Marketplace.

B. Reversion Plan

The underlying purpose of the Reversion Plan is to mitigate the impacts of unplanned or unexpected operational issues during launch of the Integrated Marketplace and provide the plan to maintain reliability during these events. As SPP represented in the Integrated Marketplace Filing, SPP's Reversion Plan will address system operations in the event of a severe operations failure, including a detailed explanation of how SPP intends to cut over to alternative systems that can analyze and monitor (among other things): (1) Area Control Error ("ACE") in the event of a failure in the centralized regulation monitoring system; and (2) Contingency Reserve in the event of a failure in the centralized reserve monitoring system.¹⁰

SPP facilitated the development of the Reversion Plan using an extensive stakeholder process. The Reversion Plan was first developed by SPP staff with input from operational staff from SPP member organizations through the Consolidated Balancing Authority Steering Committee ("CBASC") working group which was established to deal with balancing function issues. The CBASC approved the current Reversion Plan in August, 2012. Many SPP working groups such as the Change Working Group, Market Working Group, and Operating Reliability Working Group were all involved in the Reversion Plan's development and provided feedback and input. The SPP Market Operations and Policy Committee ("MOPC") approved the Reversion Plan in January, 2013 for SPP Board of Director ("BOD") action. The BOD reviewed and approved the Reversion Plan at the January 29, 2013 BOD meeting.

The Reversion Plan is designed to manage and mitigate a severe operations failure during launch of the Integrated Marketplace. Upon occurrence of a severe operations failure, the Reversion Plan will be triggered and market operations will revert back to the EIS Market environment and current Balancing Authorities will resume their balancing functions. Through the process identified in the Reversion Plan, control mechanisms such as ACE will continue to be analyzed and monitored to ensure the SPP Balancing Authority maintains the ability to balance generation to load. SPP will continue to monitor during a reversion event until the current Balancing

¹⁰ Integrated Marketplace Filing at 59-60.

Authorities are prepared to oversee their individual control mechanisms, such as ACE.

The document filed herein provides the information to all affected parties necessary to manage a smooth reversion back to the EIS Market environment. The Reversion Plan assumes that all appropriate steps have been taken to mitigate any systems, data, or procedural abnormalities prior to triggering any reversion back to SPP's current operations; and therefore, the Reversion Plan is not intended to define every situation that might result in a reversion.

The SPP Balancing Authority, or Consolidated Balancing Authority as referenced in the document, will work with the SPP Reliability Coordinator to ensure the integrity of the Bulk Electric System is not jeopardized during implementation of the Integrated Marketplace. As a result, SPP, as the Reliability Coordinator and the Balancing Authority, will maintain authority to take necessary actions to maintain reliability of the transmission system.

Upon triggering of the Reversion Plan, former Balancing Authorities participating in the SPP Balancing Authority will resume Balancing Authority functions; and both SPP and the Balancing Authorities will reassume the responsibilities identified in current Attachment AN of the Tariff. As provided in the Reversion Plan, SPP will develop a "cutover plan" to detail the commitment of generation resources just prior to the launch of the Integrated Marketplace, during the transition, and during any reversion period.

A Decision Committee, consisting of SPP staff and SPP market participants, will own the business decision whether to revert back to the EIS Market environment and re-assumption of Balancing Authority duties by current Balancing Authorities. The Reversion Plan provides a "Reversion Window" for implementation of the Reversion Plan which is less than or equal to thirty (30) operating days following the launch of the Integrated Marketplace. The SPP Balancing Authority will, at a minimum, maintain the Reversion Plan for ten (10) operating days after launch of the Integrated Marketplace. The Decision Committee can invoke extension of the Reversion Plan up to thirty (30) days as warranted. Upon the decision to implement the Reversion Plan, the Decision Committee will coordinate the notifications to impacted parties, and SPP operational staff will coordinate notifications between real-time operations and all impacted operational entities. The Decision Committee will be updated regularly on the status of the SPP Balancing Authority and Integrated Marketplace functions during the Reversion Window.

Similar to the Readiness Plan, SPP will provide updates or modifications to the Reversion Plan to the Commission as necessary.

III. ADDITIONAL INFORMATION

A. Documents Submitted with this Filing:

In addition to this transmittal letter, the following documents are included with this filing: a) SPP's Integrated Marketplace Readiness Metrics, dated March 25, 2013, as Exhibit I; and b) SPP's Integrated Marketplace Reversion Plan, dated March 19, 2013, as Exhibit II.

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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IV. CONCLUSION

SPP respectfully requests that the Commission accept the filing in compliance with requirements of the October 18 Order as detailed herein; and provide additional direction or guidance at the Commission's discretion.

Respectfully submitted,

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Exhibit I

SPP's Integrated Marketplace Readiness Metrics

Integrated Marketplace Readiness Metrics

March 25, 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	3/25/13	Jodi Woods, Derrick Baldwin, Elizabeth Aguilar	Active Metric Inventory

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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, they will be governed by a change control process.

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 measurable 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
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.

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 (~ 66.7 GW)
 - Percent Generation Capacity by MP:
 - Balancing Authority Market Participants - ~ 58.6 GW – 87.9%
 - Non-BA LSE's - ~ 3.1 GW –4.7%
 - Other (IPP, etc.) - ~ 4.9 GW –7.4%
2. Market Participants making up 90% of Load as of 3/1/2012 (~ 48.5 GW)
3. 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/MP	
Description:	CBA certification approved by NERC	
Measurement Criteria:	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
	May 2013	Member Operating Areas activities complete for support of registration of SPP as a BA^
	Sept 2013	SERC at SPP for Certification
	10/11/2013	SERC Submits Letter and Files Registration Changes with NERC
	10/25/2013	SERC Approval*
	12/6/2013	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 & CBA workstreams	
Target Completion:	12/6/13	

Data Source(s):	Regulatory & CBA Milestones, CBA Certification
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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</p> <p>Overall: Green: 100% of “High Priority” MPs have completed the TCR Accelerated Connectivity Test Yellow: 90 - 100% 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 - 100% 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
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 Data Exchange Certification is completed following the end of the Connectivity Test phase of Market Trials.
Measurement Criteria:	<p>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% of Target Mass has completed the Data Exchange Certification</p>

	Red: < 90% of Target Mass has completed the Data Exchange Certification
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:	5/16/2013
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 Resources: Green: Maintain offers Red: Did not maintain offers</p> <p>MPs with Load: Green: Submit market energy bids based on load forecasts Red: Did not submit market energy bids</p> <p>All MPs: Green: Submit market virtual bids and offers Gray: Did not submit market virtual bids and offers¹</p> <p>Overall: Green: 100% of Target Mass is participating in the Structured/Unstructured phase of Market Trials Yellow: 90 - 100% of Target Mass is participating in the Structured/Unstructured phase of Market Trials Red: < 90% of Target Mass is participating in the Structured/Unstructured phase of Market Trials</p>
Assumptions:	• ¹ The submission of virtual bids/offers is not required
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 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 -75% 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 -75% 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"> • 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

TRL-03: Market Trials – Deployment Testing

ID Number:	TRL-03
Category:	SPP
Description:	Verify that the Deployment Testing phase of Market Trials is complete.
Measurement Criteria:	<p>This metric verifies that SPP has completed the Deployment Testing phase of Market Trials for the Integrated Marketplace.</p> <p>Metric Complete:</p>

	Market Trials Deployment Testing has been completed.
Assumptions:	• Will be updated at a later date
Reported by:	SPP – Market Trials workstream
Target Completion:	
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 $(1 - (\text{total 5 min periods without a solution}/288)) * 100 = \text{Daily availability}$ Metric Complete: State Estimator has ninety-seven percent (97%) availability of five (5) minute solutions for 7 consecutive days. 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>)
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):	TBD

OPS-03: State Estimator Accuracy

ID Number:	OPS-03
Category:	SPP
Description:	SPP will verify State Estimator accuracy for the Integrated Marketplace
Measurement Criteria:	This metric measures the quality of the State Estimator using the following criteria. Metric Complete: State Estimator solves 90% of the time with Mismatch level lower than 50 MW for 7 consecutive days
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):	TBD

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:	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). 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
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):	ICCP and STLF engine

OPS-05: Mid-Term Load Forecast Accuracy

ID Number:	OPS-05
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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>Metric Complete: Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive days.</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):	MBD

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>Metric Complete: Market Flow Calculations successful ninety-seven percent (97%) of 5 minute solutions for seven consecutive days.</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):	MBD

OPS-09: DA Market Results Posted

ID Number:	OPS-09
Category:	SPP
Description:	Day-Ahead Market results are posted on time
Measurement	This metric is measured by validating that the results of the Day-Ahead Market are

Criteria:	posted to all required access points. Metric Complete: Day-Ahead Market results are posted every day by 4pm for 5 consecutive days during Market Trials.
Assumptions:	
Reported by:	Day Ahead Market Operations
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	TBD

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. Metric Complete: LMPs are generated for each pnode and made available for each settlement location every day by 4pm for 5 consecutive days.
Assumptions:	
Reported by:	Day Ahead Market Operations
Target Completion:	Market Trials – Parallel Ops
Data Source(s):	MDB

OPS-11: RTBM Calculation Availability

ID Number:	OPS-11
Category:	SPP
Description:	SPP will verify RTBM Calculation availability for the Integrated Marketplace
Measurement Criteria:	This metric will measures RTBM calculation availability: Metric Complete: Real-Time Calculations successful ninety-nine percent (99%) of five (5) minute solutions for 7 consecutive days
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
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OPS-12: Operating Reserves Requirements

ID Number:	OPS-12
Category:	SPP
Description:	SPP will ensure Operating Reserves are posted on-time
Measurement Criteria:	<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 post on time for 7 consecutive days during Parallel Ops</p>
Assumptions:	<ul style="list-style-type: none"> • All MP supplied data must be supplied by 6:00am to allow SPP time to perform the needed calculations.
Reported by:	SPP – Market Trials workstream
Target Completion:	Market Trials – 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 Marketplace registered Meter Agents^</td> </tr> <tr> <td>TBD</td> <td>NEW Agreement AH Executed and Returned from registered</td> </tr> </table>	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
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 refiling 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</td> <td>Initial Tariff Filing submitted to FERC</td> </tr> <tr> <td>12/31/2012</td> <td>FERC Approval Order Received for Tariff Filing¹</td> </tr> <tr> <td>2/15/2013</td> <td style="color: red;">Compliance Order Submitted for Conditional FERC Approval Order</td> </tr> <tr> <td>TBD</td> <td>SPP response to FERC Tariff Filing</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	Initial Tariff Filing submitted to FERC	12/31/2012	FERC Approval Order Received for Tariff Filing ¹	2/15/2013	Compliance Order Submitted for Conditional FERC Approval Order	TBD	SPP response to FERC Tariff Filing
2/29/2012	Initial Tariff Filing submitted to FERC								
12/31/2012	FERC Approval Order Received for Tariff Filing ¹								
2/15/2013	Compliance Order Submitted for Conditional FERC Approval Order								
TBD	SPP response to FERC Tariff Filing								
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>3/28/2013</td> <td>Readiness & Reversion Plan Filing submitted to FERC</td> </tr> <tr> <td>5/28/2013</td> <td>Acceptance from FERC</td> </tr> </table> <p style="margin-left: 20px;">Green: Milestones tracking on time Yellow: Acceptance from FERC is after 5//2013 Red: Readiness and/or Reversion plan is rejected by FERC</p> <p>Metric Complete: Readiness & Reversion Plan Accepted by FERC</p>	3/28/2013	Readiness & Reversion Plan Filing submitted to FERC	5/28/2013	Acceptance from FERC
3/28/2013	Readiness & Reversion Plan Filing submitted to FERC				
5/28/2013	Acceptance from FERC				

Assumptions:	• This metric is dependent on FERC response to filing
Reported by:	SPP – Regulatory & Readiness workstreams
Target Completion:	May 28, 2013
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 for the Integrated Marketplace through a Readiness Certification.				
Measurement Criteria:	<p>This metric measures MP acknowledgment of Integrated Marketplace Readiness by tracking the MPs that have signed-off on their Readiness Certification. The following milestones will be used to track this metric:</p> <table border="1" data-bbox="440 758 1320 854"> <tr> <td>May 2013</td> <td>SPP provides MPs with Readiness Certification information</td> </tr> <tr> <td>Nov 2013</td> <td>MP provides SPP with completed Readiness Certification</td> </tr> </table> <p>By Market Participant: Green: Milestones tracking on time Yellow: Milestones are at risk Red: Milestones have been missed</p> <p>Overall: 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	SPP provides MPs with Readiness Certification information	Nov 2013	MP provides SPP with completed Readiness Certification
May 2013	SPP provides MPs with Readiness Certification information				
Nov 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) • Exact milestones dates will be provided by the Regulatory workstream at a future date 				
Reported by:	SPP – Regulatory & Readiness workstreams				
Target Completion:	November 2013				
Data Source(s):	Regulatory Milestones & applicable filings				

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. The success rate is based on data from IT audit logs that show if a Participant was 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</p> <p>Overall: Green: 100% of MPs that attempted were able to successfully download a Statement Yellow: 90% – 100% of MPs that attempted were able to successfully download a Statement Red: < 90% of MPs that attempted were able to successfully download a Statement</p>
Assumptions:	<ul style="list-style-type: none"> • Successful downloads are based on SPP IT audit logs only and do not account for failures that may occur on the MP-side • 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-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. The success rate is based on data from IT audit logs that show if a Participant was 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</p> <p>Overall: Green: 100% of MPs that attempted were able to successfully download an Invoice</p>

	<p>Yellow: 90% – 100% of MPs that attempted were able to successfully download an Invoice</p> <p>Red: < 90% of MPs that attempted were able to successfully download an Invoice2</p>
Assumptions:	<ul style="list-style-type: none"> • Successful downloads are based on SPP IT audit logs only and do not account for failures that may occur on the MP-side. • 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-03: Submit Meter Data

ID Number:	STL-03
Category:	SPP/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</p> <p>Red: Attempted, but did not successfully submit meter data</p> <p>Overall:</p> <p>Green: 100% of assets successfully submit meter data</p> <p>Yellow: 90% – 100% of assets successfully submit meter data</p> <p>Red: < 90% red of assets successfully submit meter data</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

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:	In order to measure this metric, SPP will verify that it can successfully consume bilateral settlement schedules submitted.

	<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. Each MP will need to pass validation at least once.</p> <p>By Market Participant: Green: Attempted and successfully submitted a dispute Red: Attempted, but did not successfully submit a dispute</p> <p>Overall: Green: 100% of MPs successfully submit a dispute Yellow: 90% – 100% of MPs successfully submit a dispute Red: < 90% of MPs 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	Market Trials – Structured/Unstructured Testing Phase

Completion:	
Data Source(s):	IT Audit logs

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, with the following success criteria:</p> <p>Metric Complete: Settlement Statements are posted by end of day for 7 consecutive calendar days during Market Trials, including Initial, Final, Resettlement</p>
Assumptions:	<ul style="list-style-type: none"> • 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

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):	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:	This metric measures the staffing requirements of the Integrated Marketplace across the organization.

	<p>Overall:</p> <p>Green: All Integrated Marketplace positions have been filled within 90 days of the Posting Date</p> <p>Yellow: One or more Integrated Marketplace positions is not filled within 90 days of the Posting Date</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 Completion:	Go-Live
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

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 are posted.
Measurement Criteria:	<p>This metrics verifies that Production TCR results 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 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 Abbreviated Annual auction results for first 3 months of TCR production are posted</p>
Assumptions:	<ul style="list-style-type: none"> • Timeline for TCR production is TBD and will be updated at a later date • This is a production metric, but has an impact to other systems in the Integrated Marketplace
Reported by:	SPP – TCR workstream
Target Completion:	February 6, 2013 – TCR Production scheduled to start October 28, 2013
Data Source(s):	iHedge

TCR-04: TCR Production – Two Monthly Auctions

ID Number:	TCR-04
Category:	SPP

Description:	TCR production will begin prior to the Integrated Marketplace go-live and results for the April and May 2013 auctions are posted.
Measurement Criteria:	<p>This metrics verifies that Production TCR results are posted for the first 2 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 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 monthly auction results for the April and May 2013 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
Reported by:	SPP – TCR workstream
Target Completion:	December 13, 2013– TCR Production scheduled to start October 28, 2013
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

Exhibit II

SPP's Integrated Marketplace Reversion Plan



Integrated Marketplace: Reversion Plan

March 19, 2013

Southwest Power Pool



1 Revision History

Date or Version Number	Author	Change Description
8/22/2012 Version 1.0	Carl Stelly	Initial Creation of Draft
12/20/2012 Version 1.1	Kim Gorter	Updated Assumption #3 to clarify that unless all pre-defined decision points have been reached, SPP can continue to operate a measure of the Marketplace and CBA without a reversion.
1/7/2013 Version 1.2	Kim Gorter	Removed Assumption #3
3/19/2013 Version 2.0	Kim Gorter	Cleaned up and prepared as final version.

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3 Glossary

Decision Committee - A group of SPP staff and member participants responsible for reviewing performance metrics and other data required to make the determination to trigger the Reversion Plan.

Member Operating Areas - Those entities responsible for Balancing Authority functions prior to implementation to the Integrated Marketplace which will become part of the SPP Balancing Authority.

Reversion Transition -The period of time between the decision to revert and that time at which the Member Operating Areas will once again be responsible for their own Balancing Authority functions and SPP will manage to the Energy Imbalance Service (EIS) market.

Reversion Window - The period of time in which SPP and its participating members will be obligated to operate under the terms of the Reversion Plan. At the conclusion of this period, the Reversion Plan will no longer be in effect.

4 Introduction

4.1 Policy and Guideline Statements

In its role as SPP Balancing Authority Operator, Southwest Power Pool (SPP) will maintain, at all times, the continued integrity of the SPP Balancing Authority Area by maintaining interchange and balancing Resources and load in accordance with all applicable NERC Reliability Standards and Good Utility Practice.

SPP will provide to its Market Participants quality services as prescribed in the Integrated Marketplace protocols and the Open Access Transmission Tariff.

This Reversion Plan is to provide the information to all affected parties needed to take the steps necessary to manage a smooth transition from the Integrated Marketplace functionality back to the pre-determined state identified in this document. This plan will also describe, as much as practicable, the steps required to transition from Integrated Marketplace back to the pre-determined state. The objective of this document is not to define every possible situation that might result in the ultimate decision to revert.

This document also assumes that all appropriate steps have been taken to mitigate any systems, data, or procedural abnormalities prior to triggering any reversion action prescribed herein.

This document uses the term Integrated Marketplace to encompass all market functions including the Consolidated Balancing Authority (CBA) functions. Therefore, any reference in this document to Integrated Marketplace includes the CBA as well.

4.2 Related Documents

SPP Balancing Authority Agreement (Attachment AN to SPP Tariff)
SPP Integrated Marketplace Protocols
SPP Energy Imbalance Services Protocols
SPP Tariff (EIS)
SPP Tariff (Integrated Marketplace)
SPP Communication Process

5 Plan Overview

5.1 Authority and Responsibility

SPP as the Reliability Coordinator for the SPP footprint has the responsibility and clear decision-making authority to take whatever actions are determined necessary to ensure the reliability of the SPP Balancing Authority Area (“Consolidated Balancing Authority” or “CBA”). This includes, but is not limited to, taking specific actions to alleviate emergencies that may jeopardize the integrity of the Consolidated Balancing Authority. The SPP Reliability Coordinator has the authority to issue directives to the Consolidated Balancing Authority, and other entities responsible for implementing this plan, to maintain the reliable operation of the Bulk Electric System located within the Consolidated Balancing Authority. Pursuant to the NERC Reliability Standards, the Consolidated Balancing Authority must comply with directives of the SPP Reliability Coordinator unless doing such actions cannot be physically implemented or would violate safety, equipment, regulatory, or statutory requirements.

The Consolidated Balancing Authority operator will work in coordination with the SPP Reliability Coordinator to ensure that the integrity of the Eastern Interconnect of the Bulk Electric System is not jeopardized as a result of actions taken in response to an emergency, including the implementation of this Reversion Plan. SPP, as the RC and the BA, will continue to hold authority to take any action necessary to maintain the reliability of the Bulk Electric System. The Decision Committee will own the business decision to revert, not the operational decisions to maintain reliability or compliance.

Upon the triggering of this Reversion Plan, the Participants in the Consolidated Balancing Authority will resume Balancing Authority functions and reassume the responsibilities identified in Attachment AN of SPP’s Open Access Transmission Tariff in effect during pre-implementation of the Integrated Marketplace; and SPP will relinquish the responsibilities set forth in the Consolidated Balancing Authority Agreement.

SPP will develop a cutover plan that will detail the steps leading up to and including Go-Live. The cutover plan should include details about the commitment of generation resources just prior to Go-Live, during the cutover, and during the reversion period.

5.2 Assumptions

This Reversion Plan was compiled based on the following assumptions:

- This Plan will be triggered only after all efforts have been made to mitigate circumstances according to other contingency plans or procedures
- The sunset date for the Reversion Window for implementation of the Reversion Plan will be less than, or equal to, 30 Operating Days following the start of the Integrated Marketplace due to SPP modeling activities necessary to maintain reliable planning and forecast capabilities

- SPP could re-settle if the market systems are unavailable, even for a prolonged period of time
- SPP has successfully measured necessary readiness metrics to provide confidence in the viability of the new market functions and the reliable operation of the SPP Balancing Authority
- Market Participants and Member Operating Areas will maintain all necessary metering, scheduling, generation control capabilities, along with appropriate transmission reservations to allow for reversion to the individual Balancing Authority environment that existed prior to the implementation of the SPP Balancing Authority until such time that the sunset date is reached
- Member Operating Areas will continue to submit necessary data for the EIS market for a minimum 10 days following the start of the Integrated Marketplace to help facilitate reversion, unless extended by the Decision Committee as described under Section 5.5. If, during the 10 day period, there is information to indicate an extension is imminent, SPP could request additional data.
- There will be a period of time between the decision to revert and the eventual transfer of Balancing Authority responsibility in order to facilitate the transition to the Member Operating Areas
- Once the reversion is implemented, it is expected the reverted state will need to be maintained for a significant period, perhaps several months
- IT systems and staff for SPP, Members, and external vendors will be capable and prepared to support the transition and reversion as described in this document

These assumptions will be updated as SPP completes testing and readiness efforts and nears the start of the implementation of the SPP Balancing Authority.

5.3 Decision Drivers

The SPP Decision Committee will be updated regularly on the status of the SPP BA and Marketplace functions during the Reversion Window. In addition, the Decision Committee will also be apprised, as quickly as possible, if SPP Operations reaches pre-defined decision points.

5.3.1 Reliability

Due to the requirements placed on a Balancing Authority by NERC and based on its prominent role in ensuring the SPP BA has the accurate and appropriate data and generation control instructions exchanged between the member systems and SPP, the viability of the Automatic Generation Control (AGC) functionality is critical to the reliable function of SPP as a Balancing Authority. The need to provide accurate, timely, and effective generation control to maintain the frequency of the SPP Balancing Authority Area as well as the reliability of the Bulk Electric System on a continuous basis is the primary driver behind the ultimate decision to revert.

If SPP determines that it poses no significant risk to reliable operations to continue to function as a Balancing Authority and to provide market functionality under a variety of system degradations or

failures, SPP will continue its operation as the Balancing Authority while striving to mitigate any abnormal situations as quickly as possible.

However, without the AGC functionality, the determination could be made that SPP should not continue to act as the operator of the SPP Balancing Authority for a prolonged period of time. At such time, Operations staff may notify the Decision Committee through its established communications process, provide updates and other pertinent materials, and ultimately recommend reversion as the mitigation mechanism.

5.3.2 Settlements

Failure of the Settlement Systems alone will not trigger a reversion. Provided all upstream systems are functioning as planned, the market will continue to operate with the expectation that any delay in the financial activities of posting settlement statements or invoices will be resolved in an expeditious manner. It would be impractical to cease market operations and implement reversion activities, when none of the real time systems have been impaired.

In the event of sole failure of the Settlement Systems, SPP would notify all market participants once the resolution has been implemented. The notification would also include a plan and timeline for all delayed settlement statement and invoice postings to be made current.

SPP believes that Settlements, after go-live, will remain under the Marketplace Tariff, including any buffer period. The point at which the actual reversion occurs will trigger the Settlements Systems back to the EIS market and the former SPP Tariff.

5.4 Coordination of Reversion Plan

SPP will coordinate the implementation of the Reversion Plan with Member Operating Areas, Transmission Operators within the SPP Balancing Authority Area, and neighboring Transmission Operators and Balancing Authorities. SPP will also notify the neighboring Reliability Coordinators of the implementation of the Reversion Plan.

5.4.1 Notification of Decision to Trigger Reversion Plan

The Decision Committee will coordinate notifications to impacted parties via their pre-described notifications plan. SPP Operations staff will coordinate notifications between Real-Time Operations and all impacted operational entities.

5.4.2 Determination of Reversion Date/Time

The Decision Committee will determine the date and time upon which the Reversion Transition will end and the reverted state will begin. This buffer period, the length of the transition period between the decision and the reversion to the reverted state, will be determined based on a variety of factors which will include the state of systems, the ability of SPP to adequately perform the Balancing Authority functions, and the ultimate impact on reliability of the Bulk Electric System. If time

allows a more controlled reversion, and reliability is not adversely impacted, the buffer could be determined to be remainder of current day, or remainder of current day plus 24 or 48 hours. If, however, reliability concerns demand a much quicker reversion, the Decision Committee will have the ability to declare the buffer period not less than 4 hours. The ultimate decision to revert and the buffer between the decision and reversion shall be dependent upon on the state of the Consolidated Balancing Authority and Participant readiness. This will mark the date and time at which the Member Operating Areas will resume acting as their own Balancing Authorities.

5.4.3 Implementation of Reversion Plan

SPP will coordinate communications and activities between SPP Member Operating Areas and with neighboring Balancing Authorities and Reliability Coordinators. SPP will utilize a detailed communication process for notifying appropriate parties.

5.5 End of Reversion Plan

SPP, as the Balancing Authority, will, at a minimum, maintain this Reversion Plan in effect for 10 Operating Days from implementation of the Integrated Marketplace. In the event circumstances warrant, the Decision Committee can invoke the extension of the Reversion Plan effective end date to 30 days from the implementation of the Integrated Marketplace.

After the conclusion of the Reversion Plan, SPP will continue to operate under the auspices of the applicable procedures for abnormal situations.

5.6 Post Reversion

After the triggering of this plan and once the desired reverted state has been achieved, SPP will begin the process of reviewing the cause(s) that led to reversion. As part of this review process, SPP will gather metrics and additional data to allow for a subsequent recovery plan to be developed. This recovery plan would encompass, among other items, a plan for any additional trials, tests, parallel operations, processes/procedures, audits, etc., that would be necessary to attempt another implementation of the Integrated Marketplace.

This plan is not meant to imply that SPP would consider subsequent tries or multiple reversions. It is the intent of SPP staff that this document be considered applicable only to the original implementation of the Integrated Marketplace.

6 Revert to EIS Markets Environment

In the event SPP experiences conditions (noticeably, the loss of RTGEN for a prolonged period of time) that trigger the reliability risks associated with the operation of the SPP Balancing Authority, the Reversion Plan will trigger the reversion to the production environment in place with all the requisite responsibilities, actions, and relationships during the SPP Energy Imbalance Service (EIS) Market, with the Member Operating Areas acting as their own Balancing Authorities.

This section does not reflect all actions that might possibly have preceded the decision to revert, such as the implementation of specific mitigation plans or contingency scenarios. The assumption is that all such actions have not provided the necessary relief or adequate confidence that SPP can continue to operate as the SPP Balancing Authority. It also assumes the decision has been made separate from the subsequent actions identified below.

6.1 Notification

Member Operating Areas will be notified and given a target date and time for reverting. The decision on the effective transition time and date will primarily be driven by the need for a period in which Member Operating Areas can make adjustments to schedules, EIS Offers, unit commitments, and prepare staff and systems to take over the Balancing Authority responsibilities as they existed before the Integrated Marketplace implementation.

6.2 Transitory Actions

6.2.1 Scheduling Systems

SPP will work with the Member Operating Areas to facilitate the adjustment of interchange transactions, as needed, to help each of the individual Member Operating Areas to a position of relative sufficiency. Since the adjustment period will be very active and the need for multiple transaction requests might be significant, it is expected there will need to be a period in which the Member Operating Areas will have sufficient time to adjust, submit, and have approved the interchange transactions necessary to supplement their generation resources to reliably serve their load demand within their respective areas.

6.2.2 Unit Commitments

After the decision has been made to revert, and until such time the Member Operating Areas accept responsibility for their individual areas, SPP will continue to study the necessary generation commitments and load forecasts and assist the individual balancing areas in determining their generation needs relative to their expected load demands and interchange transactions. This period will be sufficient to allow the respective areas, within reason, the ability to commit or de-commit generation resources and the time needed to arrange for those resources to be made available to provide adequate load-following capability. It is imperative that each individual balancing area be allowed sufficient time to prepare for the reversion to minimize the risk inherent in the resumption of Balancing Authority responsibility. The Decision Committee will weigh the readiness of the Member Operating Areas in determining the reversion point, as much as possible.

6.2.3 Frequency Control

Due to the nature of this reversion, SPP expects there may be a need for some systems (Resources or combinations of Member Operating Area Resources) to be called upon to provide a measure of frequency control, assuming the RTGEN application is the primary driver behind reversion. SPP will direct those systems during the transition period, as needed, to maintain the balancing function and meet all balancing requirements.

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 25th day of March, 2013.

/s/ Matthew S. Harward
Matthew Harward

Attorney for
Southwest Power Pool, Inc.