

Issue Number	Issue	Resolution Required Prior to Go-Live Date	Type	Source	Status	Assoc. Metric	Response Notes
1	Constant Error Correction	None. See notes.	Process	OPSTF Report	Closed		Deliberate over-generation is an area that will be monitored as part of the existing market monitoring process and will be addressed per these procedures. The SPP Reliability Coordinators and Market Operators have the necessary data and visualization tools to monitor these situations as they develop. If a resource is observed to be ignoring dispatch instructions to the extent that its host BA cannot maintain ACE within reliable limits, the SPP RC has the ability and authority to take necessary corrective actions. Additionally, current protocols allow the Market Operator to lock out resources that significantly deviate from their dispatch instructions after 6 consecutive intervals. In the most recent deployment test, SPP did encounter the situation of a MP resource refusing to follow SPP's dispatch instructions. SPP successfully followed its process to resolve this issue.
2	Manual Control Mode Definition. (Consolidated issue)	(i) SPP clarify procedure and/or approach for Market Operators to review with MP warning messages received by participants when units on Manual control mode are in MP A/S Plans and confirm plants are providing reserves per SPP Criteria #6. (ii) SPP to clarify treatment of off system transactions in Ancillary Service plan as in (i).	Process	OPSTF Report	Open	26.3	Consolidated issues related to AS plans and participation of Manual units or off system transactions. (ii) pending MP review of resolution to MP service request.
3	Flowgate constraint relief management (Consolidated issue) -Effective Limit issue -Manual override of line limits -IDC request for MF Reduction and Subsequent Constraint Manager Calculation	(i) SPP procedures for managing flowgate limits is reviewed and clarified with MWG and ORWG. (ii) Review and clarify procedures for logging operations decisions to vary relief requested from NERC IDC value; (iii) provide add'l training to SPP operators on procedures and documentation req'ts.	Process	OPSTF Report	Open	26.12, 18.78	(i) Pending review of CM procedures with ORWG. (ii) Code/Test software on DDN (iii) Develop training (Complete in next 2 weeks). Training complete by mid-January.
4	Manual override of line limits	Consolidated with item 3.	Process	OPSTF Report	Closed	26.12	
5	Follow-up on deliverability analysis	None. See Notes.	Process	OPSTF Report	Closed	26.3a	Post Go-Live Issue. Existing process already approved by FERC and MOPC and will be used for Go Live. <u>Reviewed tariff and protocols for consistency. Approved PRR128. Response to Notification of Market Infeasibility. Determined whether automated or manual Go-Live Procedure was required: developed manual Go-Live procedure.</u>
6	Short Term Load Forecast	(i) SPP to validate Reference Day selection process to ensure that problems experienced by ERCOT are avoided. (ii) Review and clarify procedures for short term load forecasting.	System (possible) and Process	OPSTF Report	Open	26.9	Investigation into using weather information in STLF deferred to Post Go-Live date. (ii) Complete development of communication piece and then distribute communication (Complete in next 2 weeks).

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7	Uploading of Native Load Schedules	Corrections have been implemented and tested internally. See notes.	System	OPSTF Report	Closed	27.4	All known issues regarding NLS uploading have been resolved. The following recent RTOSS releases have addressed the RTOSS to MOS Interface Issues and have been successfully implemented in the production environment: RTOSS Release 3.4.0719 RTOSS Release 3.4.0720
8	Appropriateness of Violation Relaxation Limits and their impact on LIPs	(i) Principles for setting violation relaxation variables are agreed with MWG and ORWG and implemented; (ii) SPP clarifies procedure for managing constraints where insufficient flexible generation is offered; (iii) respond to FERC October 31 Order.	Process	OPSTF Report	Open	18.78	Pending review of PRR125 by ORWG (MOPC contingent approval) and subsequent Board adoption and filing.
9	Discrepancies between Effective Limit Calculator and Real-Time Flow	(i) SPP implements modeling fixes found to solve problem on all flowgates; (ii) SPP monitors issue during final deployment tests. See Notes.	Data/Modeling	OPSTF Report	Open	26.12	Root cause of this issue was found to be a modeling problem with certain load buses. Fix has been identified and implemented for the two flowgates that experienced problem during Deployment Test and analysis is being done to identify if same problem exists on any other flowgates. (ii) Monitoring, preparing reports and implementing modeling fixes after each deployment tests.
10	Issuance of TLR in opposite direction of Flowgate definition	None. See notes.	System	OPSTF Report	Closed		Only a small number of known flowgates have this issue today. Manual work around process has already been developed. Automated process implemented if time available but is currently considered a Post Go-Live issue.
11	IDC request for MF Reduction and Subsequent Constraint Manager Calculation	<u>Consolidated with item 9</u> - differences between projected flows and actual flows. <u>Consolidated with item 3</u> - operator review and approval of relief required.	Data/Modeling/Process	OPSTF Report	Closed		Consolidated with prior items.
12	System Outages for Implementing Patches (Consolidated issue) - Communication of outages to Market Participants	(i) Meet specific metrics for availability; (ii) review failover and outage procedures with appropriate committees.	Communications	OPSTF Report Service Requests	Open	26.60	
13	System stability (Consolidated issue)	(i) Outage investigation; (ii) all critical and high issues linked to this issue are resolved; (iii) system meets the reliability and availability metrics;	System		Open	26.7 26.11 26.12 26.3 26.4 26.6	A dedicated team has been assigned to address all issues related to system stability.

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14	Required revisions to offer caps and related processes (Consolidated issue)	(i) Changes to Offer Caps required per FERC Order are implemented; (ii) appropriate offer caps used in market systems per tariff requirements.	Process	Deployment Test	Open	26.4	Modeling changes were the root issue causing manual intervention being required. Modeling process has been automated for all except one condition. Name changes for Resource or Pnode will still require manual intervention. SPP is reviewing process to see if this issue can be automated as well. Changes are underway to the Offer cap Application for the new FERC order. The remaining automation of modeling will be included in these changes. Proactive notifications have been created to alert if next day offer caps have not been generated or posted to MOS. (ii) Updating offer cap webpage (complete in next two weeks).
15	Dispatch instructions appear to be outside limits defined in Resource Plan (Consolidated issue)	See Notes.	System	Service Request	Closed	26.4	Need to determine if these SRs have a common cause or if these should be handled through follow-up with individual MPs.
16	Settlement dispute processes and procedures	Implement known changes to address concerns identified in deployment tests.	System	SPP	Closed	21.47	
17	Revenue Neutrality concerns	(i) Root cause identified; (ii) all critical and high issues linked to this issue are resolved;	(possible) and Process	Settlements TF	Open	21.26	MP Concerns... Code/test system changes to defined process. Continued refinement of process, reports and systems as needed.
18	OPTF expressed concern over manual nature of SPP operations	See Notes.	System and Process	OPSTF Report	Closed		This concern was raised in the Operations Task Force Report and is noted. SPP will continue to look for ways to improve the tools for the reliability coordinators and market operators and will continue to reinforce training on procedures.
19	OPTF expressed concern over situational awareness of operators.	See Notes.	System and Process	OPSTF Report	Open		See response to item 18. SPP consulted with MISO and learned that many of the tools identified there have been implemented for SPP. In addition, it is noted that this issue was evaluated as part of NERC's certification process and SPP has been certified by NERC. <u>SPP continuing to enhance redundancy and high availability, (Prod) and increase support contract with vendor.</u> Finalizing vendor support and advanced developer training pending. Setup QA environment for eDNA post go-live.
20	Business Continuity & Disaster Recovery plans have not been formalized.	(i) identify requirements prior to availability of new facilities (ii) Publish and communicate plans to staff and stakeholders;	Process	SPP	Open		Drafted: Awaiting review. Complete in the next two weeks.
21	Final Deployment Test Plans and Schedule need to be completed.	Schedule published and distributed to stakeholders.	Admin	SPP	Closed		

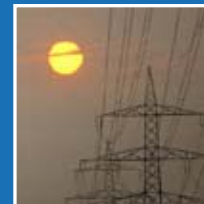
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22	Transition & Reversion Plan needs to be updated to reflect current schedule and filed at FERC.	Update Transition & Reversion Plan Published & Included in 60 Days Post-Tariff Ruling Response	Admin	SPP	Open		This document contains the complete list of final preparatory items (e.g. cutover steps, data base purges, etc.) that must be done as part of the transition to Go Live. Plan needs to updated with Go-Live date and ORWG changes
23	SPP readiness certification Filed with FERC	SPP readiness certification Filed with FERC	Regulatory	SPP	Open		
24	All FERC filings necessary for Go-Live are made	All FERC filings necessary for Go-Live are made	Regulatory	SPP	Open		PRR125
25	NERC and IDCWG Readiness Recommendation of SPP Market Filed with FERC	NERC and IDCWG Readiness Recommendation of SPP Market Filed with FERC	Regulatory	SPP	Open		To be filed with certification filing.
26	Go/ No Go Criteria List not completed.	(i) Go/No Go Criteria reviewed by MOPC and BOD.	Admin	SPP	Open		



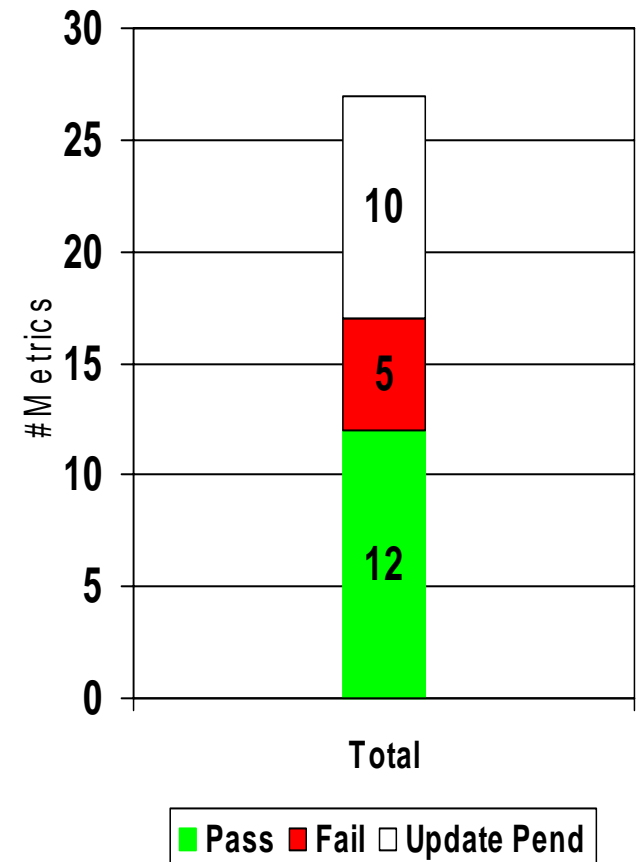
Independent Assessment of SPP Market Readiness Metrics

Board of Directors Meeting

December 12, 2006



- **Reporting period shortened due to system stability upgrades**
 - Partial data available from 11/28-12/8
 - Full data available since 12/2/06
 - Deployment tests started on 12/7/06
- **Chart shows snapshot status as of Friday, December 8th**
 - There are 27 Go-Live Metrics being tracked
 - Generally, fail status seems to be near misses and slow performances rather than complete failures of applications for extended periods
 - Most pending metrics are in settlements area. Settlements process lags real time process so data for these metrics will be available beginning 12/10/06
- **Total number of open issues is trending downward**



Comments on current status



Metric #	Readiness Metric	Current Status	14 Day Trend	30-Day Trend	Comments
Tier 1 Metrics - Monitored Daily					
18.75	At least 90% of the online market footprint generation remains within 10% of deployment instructions (or 5 MW, whichever is greater) for at least 85% of the time	N/A			Metric measured only during deployment tests
18.78	Dispatch instructions that relieve a constraint have been sent out within 15 minutes of reporting the constraint (if applicable)	N/A			Metric measured only during deployment tests
26.3	At least 97.5% of Hour Ahead Balancing Studies solve within 30 minutes				Studies completed but not within 30 minute window in 4 of 24 instances.
26.3a	Day Ahead SFT process completed and results communicated to relevant participants				
26.4	At least 99% of 5-minute Real-time Balancing studies solve in less than 5 five minutes				Slow performance of small number of intervals experienced over several days.
26.5	No more than 3 Real-time Balancing studies fail in a row or use stale data				Problem found on 12/7 and a software fix was generated.
26.5a	Metrics 26.4 and 26.5 pass for at least 7 days consecutively.	N/A			
26.60	Market Operations Portal functionality is available at least 99.5% of the time				
26.7	State Estimator has ninety-seven percent (97%) availability of five (5) minute solutions				
26.7a	State Estimator should not have more than 3 consecutive 5 minute periods of an Invalid Solution				
26.8	State Estimator solves 90% of the time with Mismatch level lower than 50 MW and with high accuracy				
26.8a	State Estimator solves 90% of the time with Mismatch level lower than 25 MW for Market footprint				Causes have been identified and isolated to data issues with four specific generating stations.
26.8b	State Estimator solves 90% of the time with high accuracy (SE MW within 5% of the base rating or < 50 MW (larger of 2 values is target)) for 90% of the selected substations				
26.8c	State Estimator solves 90% of the time with high accuracy (SE MW within 5% of the base rating or < 50 MW (larger of 2 values is target)) for 50 largest units				
26.9	Short term load forecast solves 97% of time with high accuracy (+/- 1%)				Result was 95% of time and trend is positive; metric passes 2% bandwidth
26.9a	Short term load forecast solves 97% of time with high accuracy (+/- 2%) for BA regions				
26.9b	Short term load forecast solves 97% of time with high accuracy (+/- 2%) for the entire region				
26.10	ICCP availability of 99.5%				
26.11	Real-Time EIS Calculations successful ninety-nine percent (99%) of five (5) minute solutions				
26.12	Market Flow Calculations successful ninety-seven percent (97%) of fifteen (15) minute solutions				

NOTE: Trend data will be reported in next reported after additional data is available.