Southwest Power Pool

CORPORATE METRICS

3rd Quarter 2018

Oct 19, 2018

Southwest Power Pool Corporate Metrics

Transmission & Market Dashboard Q3 2018

Markets Operational Indicators Metric	Chart	Q3 2018 Indicators Jul-18	Aug-18	Sep-18	Indicator Threshold Values ● Expected	■ Monitor	▲ Concern	▼ Problem
TCR Funding	M.1.2	●	●	■	>= 90%, <= 100%	± 5% of Expected	± 10% of Expected	± 20% of Expected
CPS1 & BAAL Reporting	M.3	●	●	●	<=20 mins or >120	>20 mins or =<120	>25 mins or <110	>=30 mins or <100
RT-DA Price Deviation	M.4.4	●	●	●	<= 25%	<= 30%	<= 35%	> 45%
MWP Distribution per MWh	M.5.3	●	●	●	<= $0.50	<= $0.75	<= $1.00	> $1.00
Monthly Average Gross Virtual Profitability per MWh	M.6	●	●	●	<= $2.00	<= $2.50	<= $3.00	> $3.00
Excess Capacity (900 MW + X % of Peak Obligation)	M.7.1	●	●	●	<= 0.5%	<= 1%	<= 1.5%	> 1.5%
Real-Time Obligation Fulfilled by DA (% Committed Capacity)	M.7.2	●	●	●	>= 95%	>= 90%	>= 85%	< 85%
HR Operational Metrics (Year-to-date), Days Failed	P.2.2	●	●	●	<= 14	<= 18	<= 25	> 25
Day-Ahead Mid-Term Load Forecast (% Error)	P.2.3	●	●	●	<= 5%	<= 10%	<= 15%	> 15%
Short-Term Load Forecast (% Error)	P.2.3	●	●	●	<= 1%	<= 1.5%	<= 2.5%	> 2.5%
On-Time Real-Time Posting	P.2.3	●	●	●	>= 99.5%	>= 99%	>= 98.5%	< 98%
On-Time Day-Ahead Posting	P.2.3	●	▼	●	>= 99%	>= 98.5 %	>= 98%	< 98%

Please note: Dashboard metric criteria are reviewed and revised each year.

* The current year Dashboard metric criteria have been published at the end of the document.

** Each metric item is identified by a number that links the metric to its corresponding chart and criteria entry.

Finance Dashboard

Q3 2018

Metric	Chart	Previous Indicators			Indicator Threshold Values ● Expected	■ Monitor	▼ Concern
Admin Fee Measurement (Forecast vs Budget)		**Jul-18**	**Aug-18**	**Sep-18**			
Gross Revenue Requirement (GRR)	F.1	●	●	●	< = $1.0 M	$1.1 M to $2.2 M	> = $2.3 M
Net Revenue Requirement (NRR)	F.1	●	●	●	< = $1.0 M	$1.1 M to $2.2 M	> = $2.3 M
Admin Fee Revenue Collected	F.1	●	●	●	< = $1.0 M	$1.1 M to $2.2 M	> = $2.3 M
Over/(Under) Recovery	F.1	●	●	●	< = $1.0 M	$1.1 M to $2.2 M	> = $2.3 M
Billing Determinants (MWh millions)	F.1	●	●	●	< = 3.0	3.1 to 5.0	> = 5.1
Credit		**Jul-18**	**Aug-18**	**Sep-18**			
Short Pays & Uncollected Amounts	F.2	●	●	●	Short Pays = $0; Uncollected = $0	Short Pays > $0; Uncollected = $0	Short Pays > $0; Uncollected > $0
Settlement Disputes		**Jul-18**	**Aug-18**	**Sep-18**			
Number of Open Disputes	F.3	●	●	●	< = 30	31 to 60	> 60
Average Days Outstanding	F.3	●	●	●	< = 30	31 to 45	> 45
Average Dispute Amount (millions)	F.3	●	●	●	< = $1.0	$1.1 to $2.0	> $2.0
Number of Resettlements	F.3	●	●	●	< = 50	51 to 90	> 90
Human Resources		**Q1.18**	**Q2.18**	**Q3.18**			
Rolling 4 Qtr Turnover Rate	F.4	●	●	●	< 6%	6 to 8%	> 8%
Vacancy Rate	F.4	●	●	●	< 5%	5 to 8%	> 8%

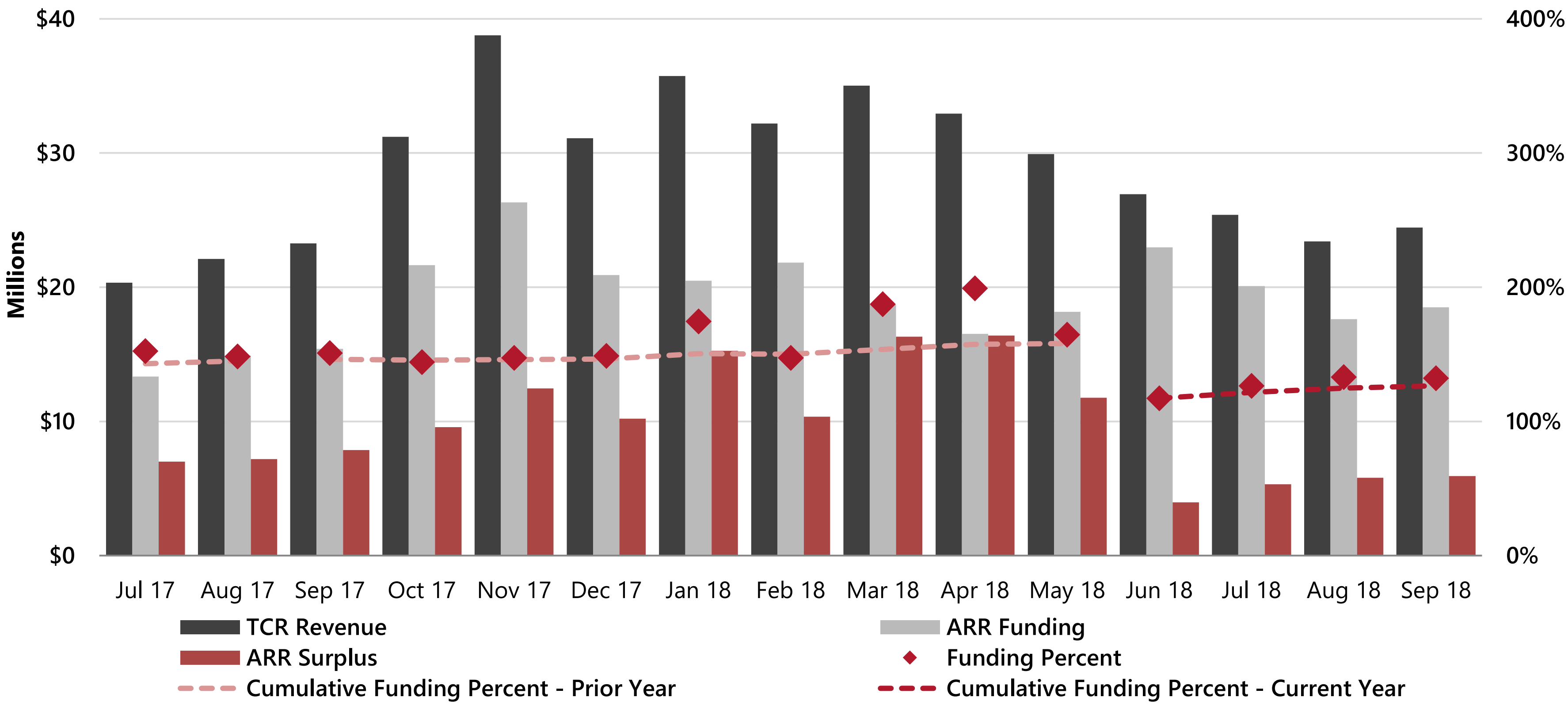
Engineering Studies

Q3 2018

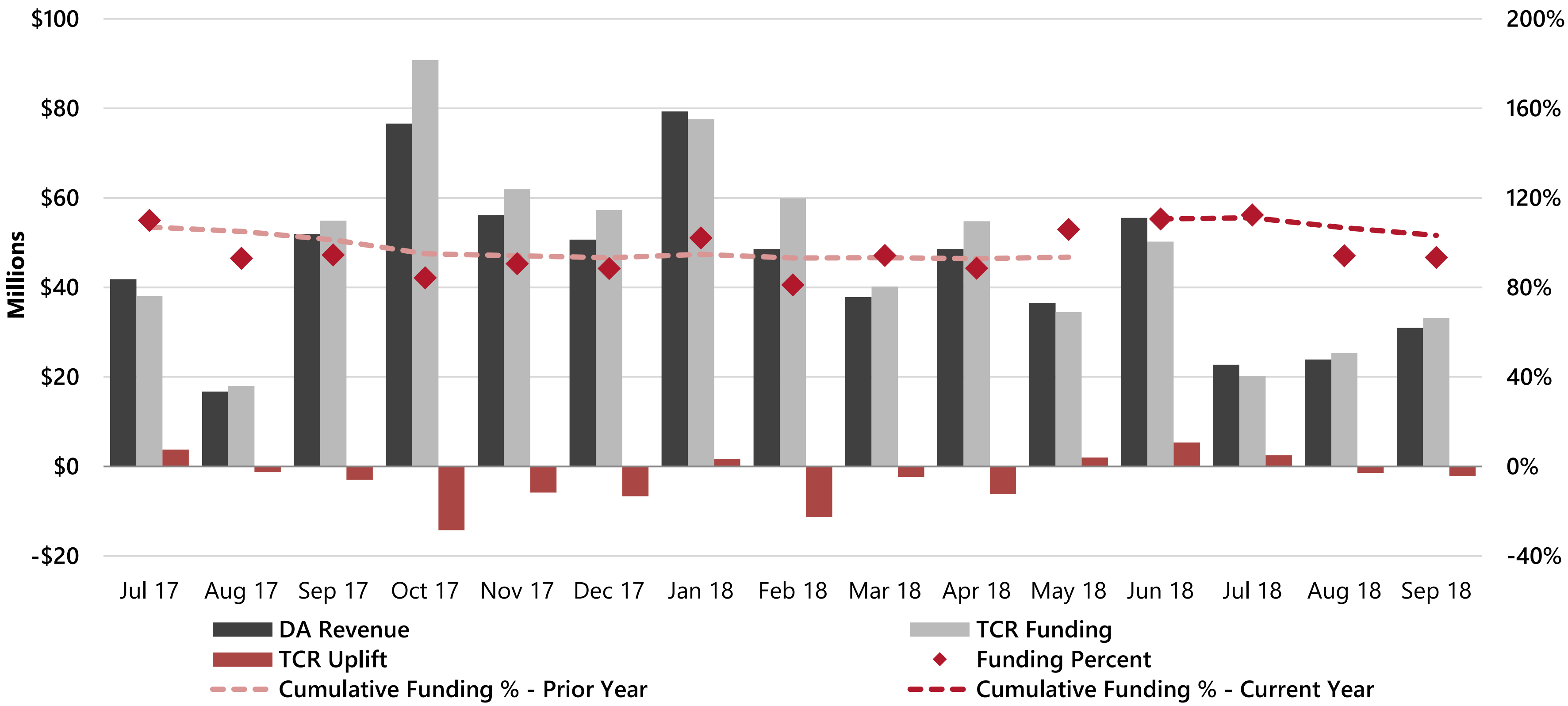
Percentage of study postings that were on-time during the quarter.		Quarterly Indicators			Indicator Threshold Values		
					●	■	▼
Study Type	**Chart**	**Q1.18**	**Q2.18**	**Q3.18**	**Expected**	**Monitor**	**Concern**
Aggregate Facilities Studies	P.3	●	●	●	100%	80-99%	> 80%
Delivery Point Transfer Screening Studies	P.3	●	●	●	100%	80-99%	> 80%
Long-Term Service Request Screening Studies	P.3	●	●	●	100%	80-99%	> 80%
Generator Interconnection Active Requests > 365 Days	P.4	▼	▼	▼	< 10%	< 30%	> 30%

SPP must report to the commission when more than 20% of Facilities Studies (not Screening Studies) are late in two consecutive calendar quarters. SPP is subject to penalty if 10% or more are late in the following two calendar quarters after breaking the 20% late threshold.

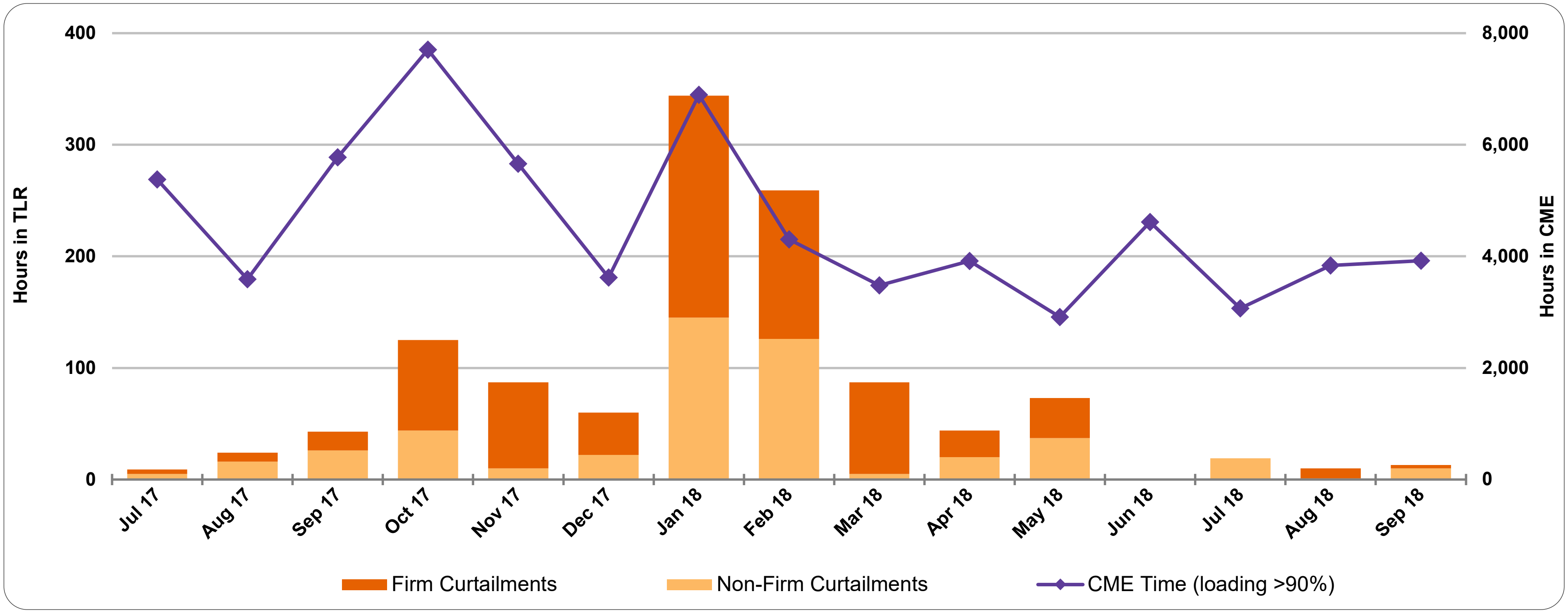
M.1.1. ARR Funding Summary



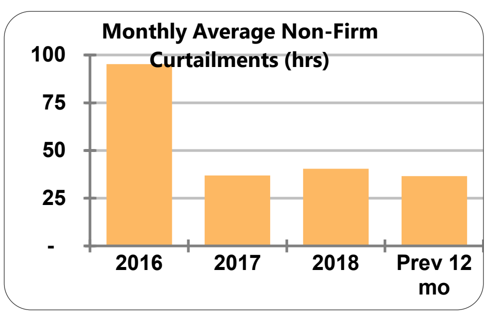
M.1.2. TCR Funding Summary

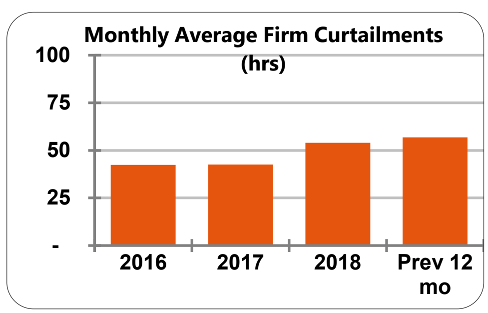


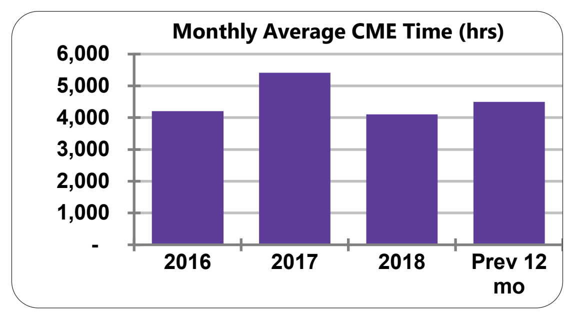
M.2.1. Congestion - TLR / CME Time



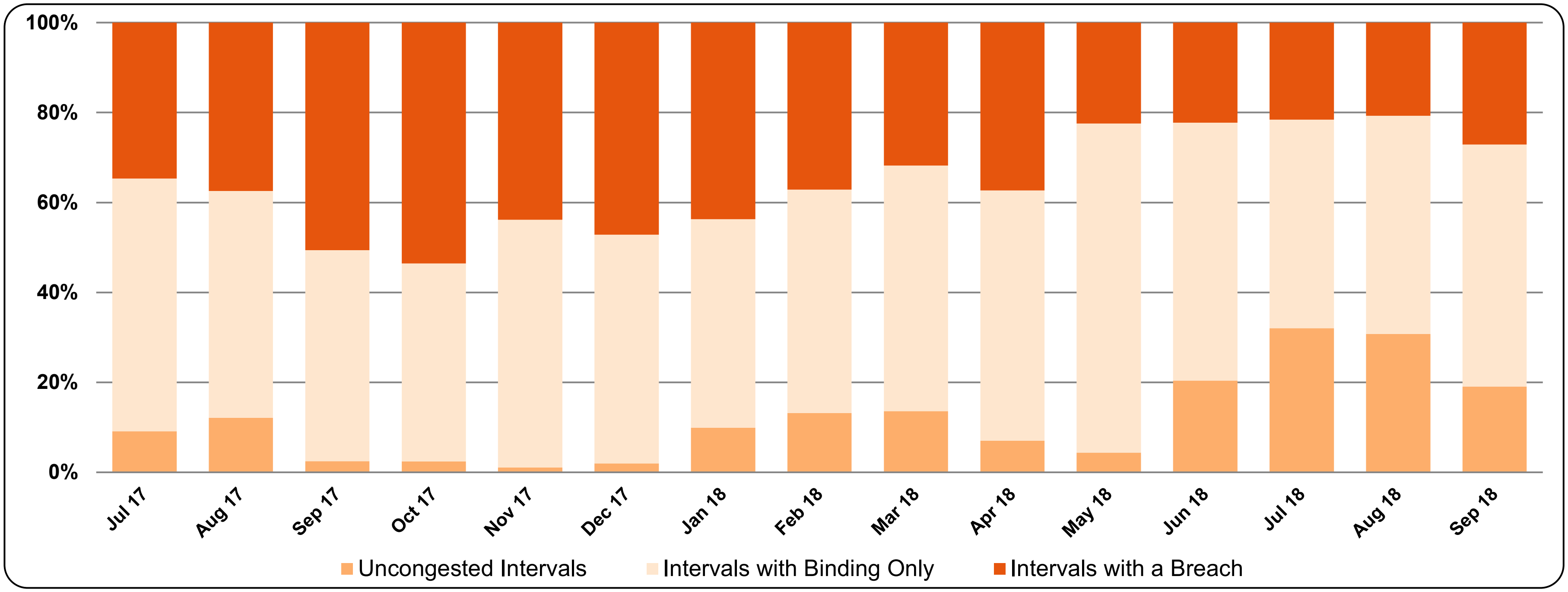
in hours	Jul 17	Aug 17	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	2016	2017	2018	Prev 12 mo
Non-Firm Curtailments	5	16	26	44	10	22	145	126	5	20	37	0	19	1	10	95	37	40	37
Firm Curtailments	4	8	17	81	77	38	199	133	82	24	36	0	0	9	3	42	43	54	57
Total	9	24	43	125	87	60	344	259	87	44	73	0	19	10	13	138	79	94	93
CME Time (loading >90%)	5,379	3,592	5,775	7,704	5,660	3,622	6,893	4,305	3,482	3,918	2,913	4,615	3,070	3,837	3,923	4,201	5,414	4,106	4,495
																Monthly Average in Hours			







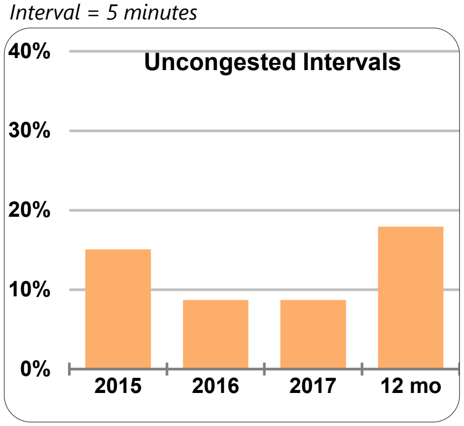
M.2.2. Congestion - Congested Intervals (RTBM)

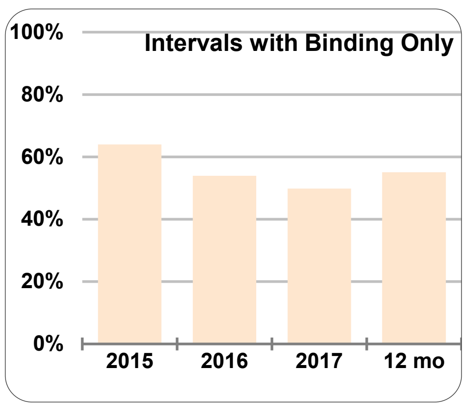


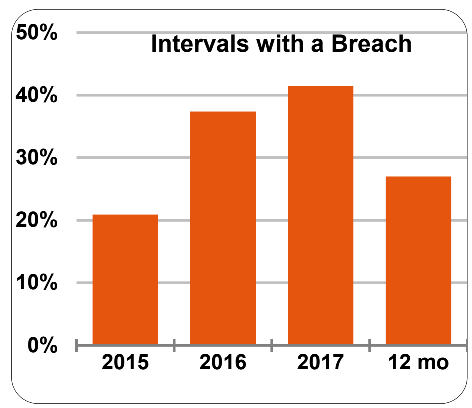
	Jul 17	Aug 17	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18
Uncongested Intervals	9%	12%	2%	2%	1%	2%	10%	13%	14%	7%	4%	20%	32%	31%	19%
Intervals with Binding Only	56%	50%	47%	44%	55%	51%	46%	50%	55%	56%	73%	57%	46%	48%	54%
Intervals with a Breach	35%	37%	51%	54%	44%	47%	44%	37%	32%	37%	22%	22%	22%	21%	27%

Interval = 5 minutes

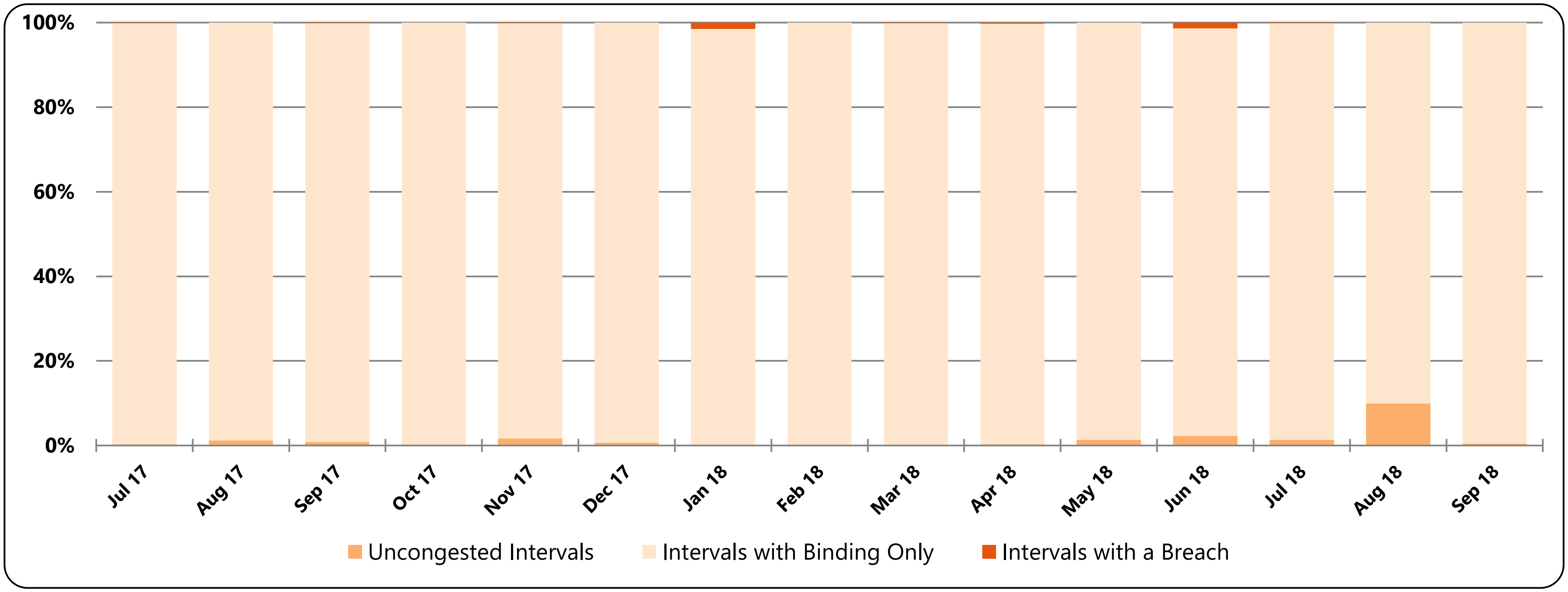
2015	2016	2017	12 mo
15%	9%	9%	18%
64%	54%	50%	55%
21%	37%	41%	27%
Average			







M.2.2.1 Congestion - Congested Intervals (DAMKT)

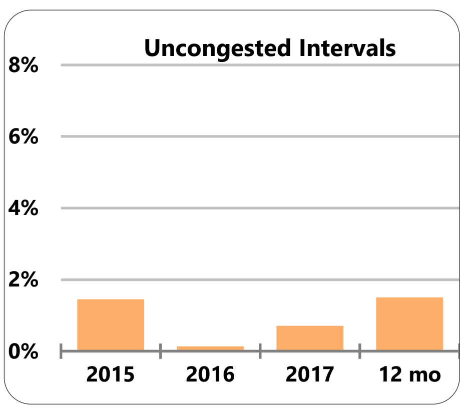


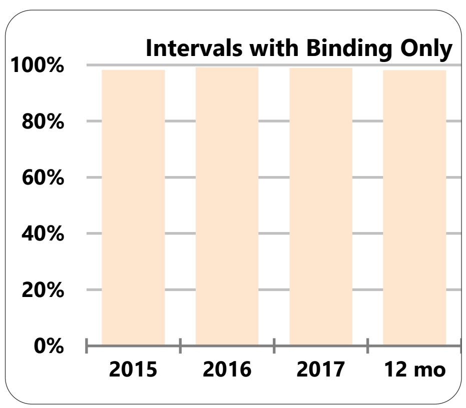
	Jul 17	Aug 17	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18
Uncongested Intervals	0%	1%	1%	0%	2%	1%	0%	0%	0%	0%	1%	2%	1%	10%	0%
Intervals with Binding Only	100%	99%	99%	100%	98%	99%	99%	100%	100%	99%	99%	96%	99%	90%	100%
Intervals with a Breach	0%	0%	0%	0%	0%	0%	1%	0%	0%	0%	0%	1%	0%	0%	0%

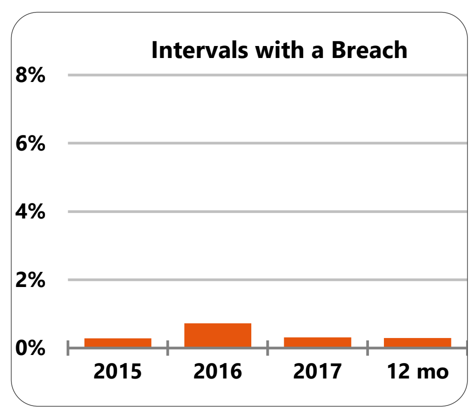
Interval = 1 hour

	2015	2016	2017	12 mo
Uncongested Intervals	1%	0%	1%	2%
Intervals with Binding Only	98%	99%	99%	98%
Intervals with a Breach	0%	1%	0%	0%

Average

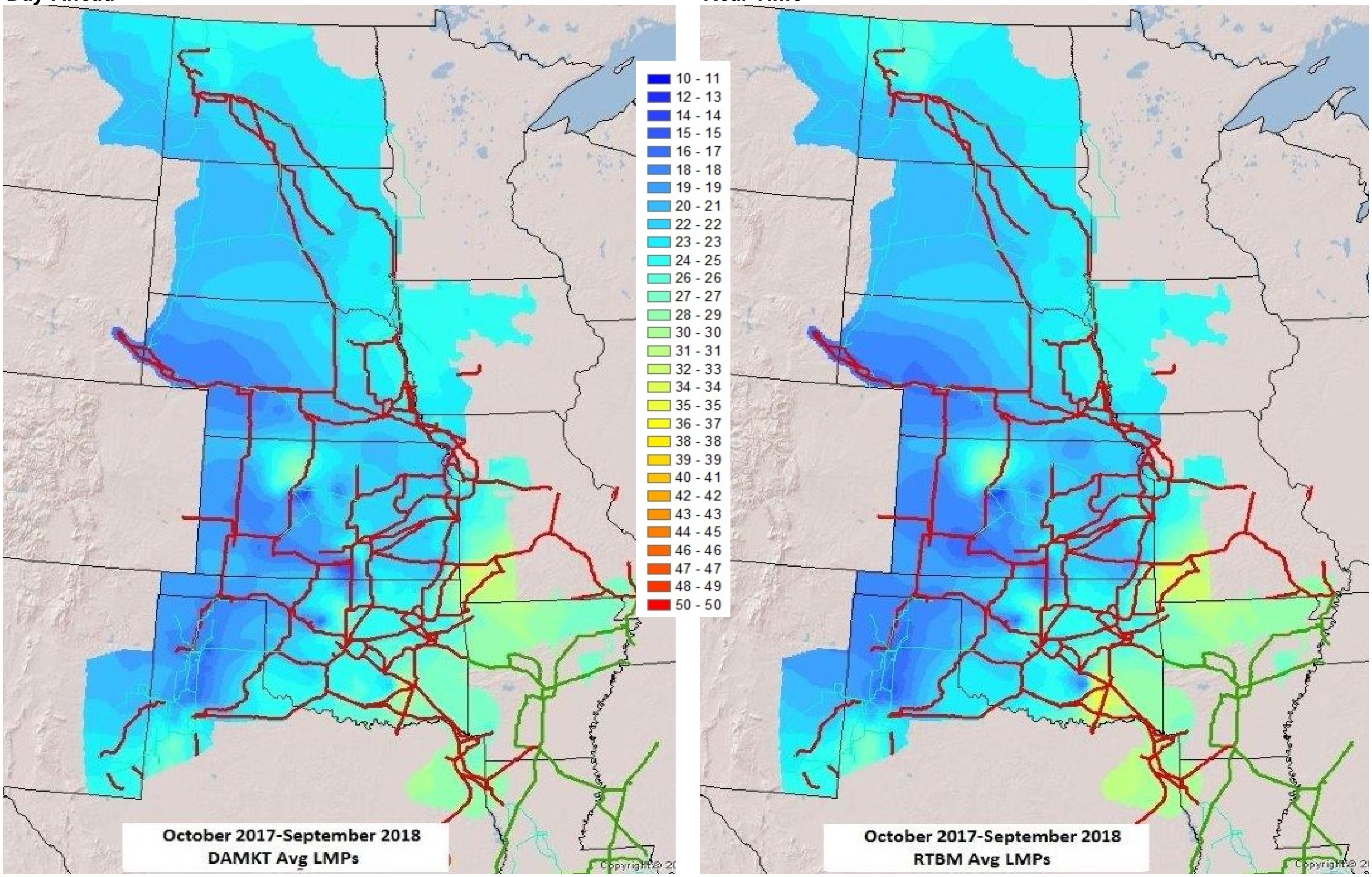




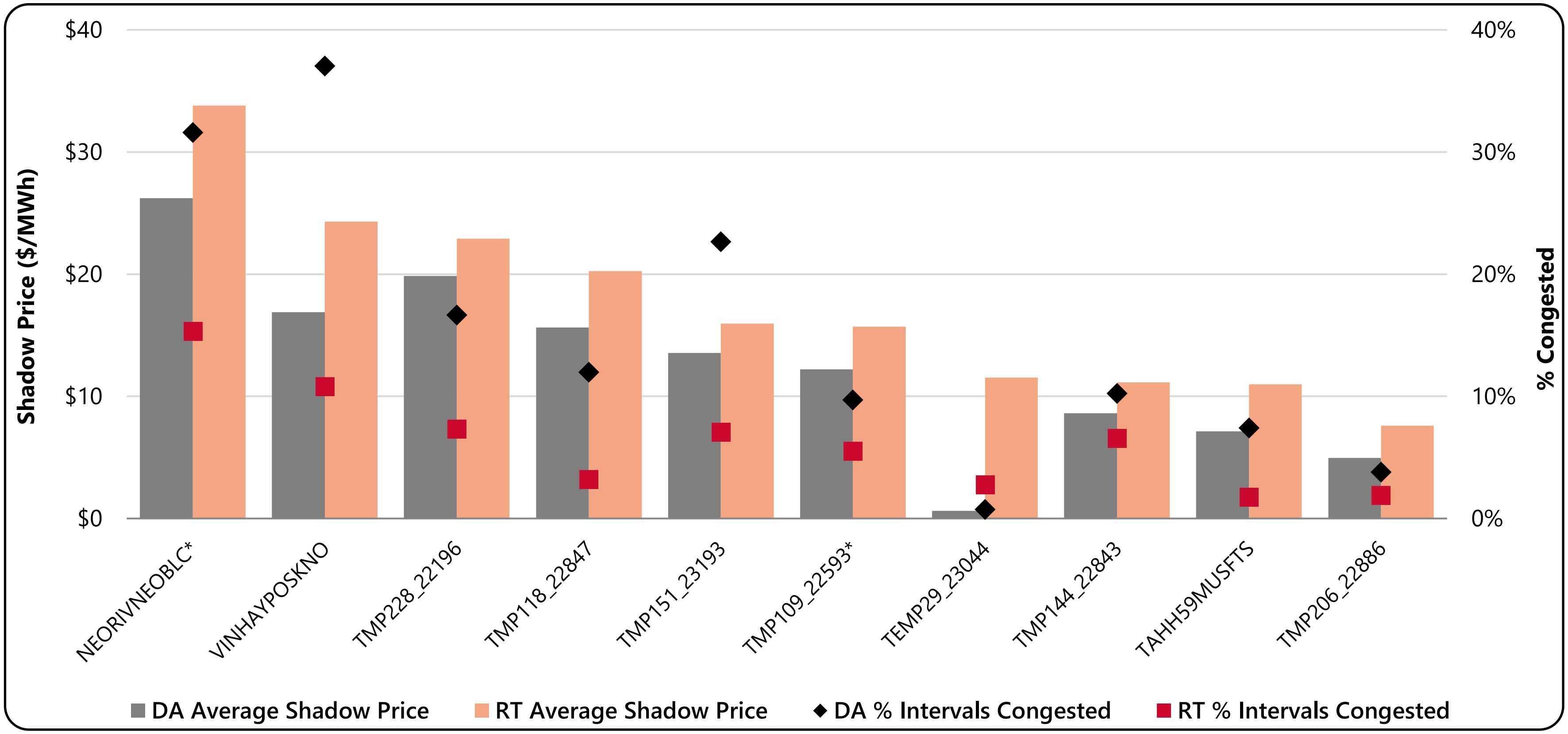


M.2.3. Price Contour Map (October 2017 - September 2018)

Day-Ahead ***Real-Time***



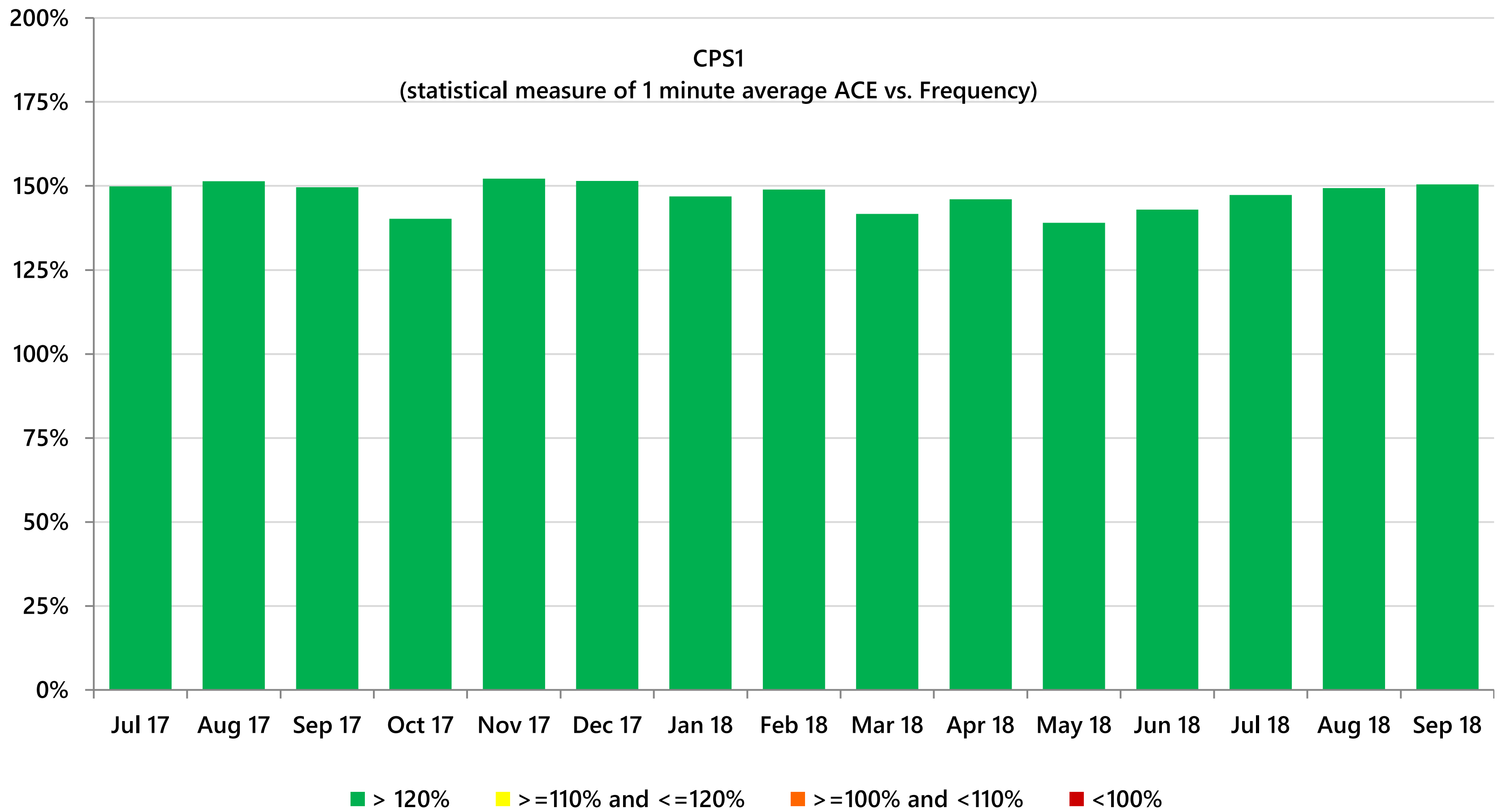
M.2.4. Congestion - Flowgates (October 2017 - September 2018)



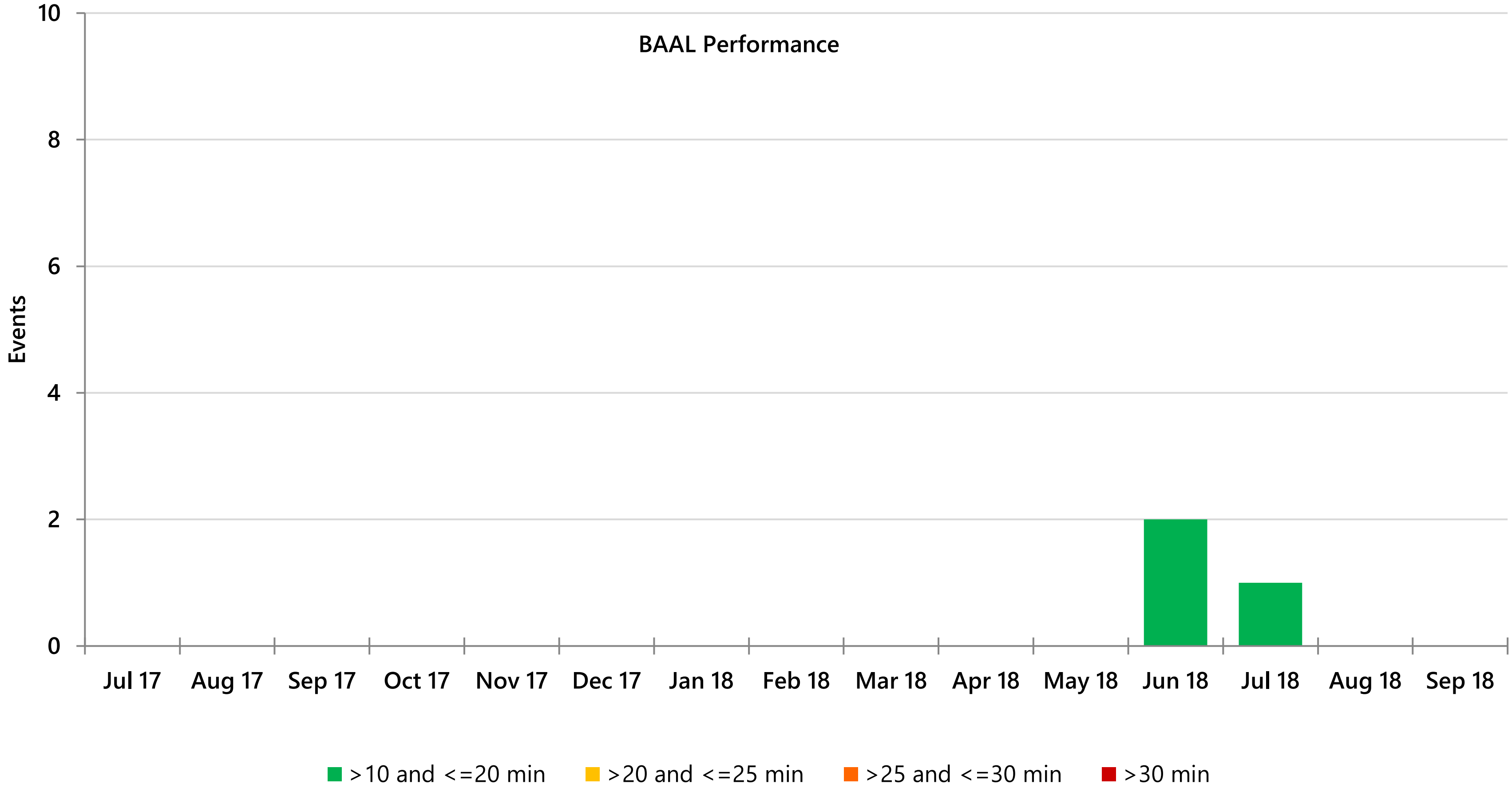
Flowgate Name	Region	Flowgate Location
NEORIVNEOBLC*	SW Missouri/SE Kansas	Neosho-Riverton 161kV (WR-EDE) ftlo Neosho-Blackberry 345kV (WR-AECI)
VINHAYPOSKNO	Western Kansas	Vine-Hays 115kV ftlo Post Rock-Knoll 230kV (MIDW)
TMP228_22196	West Texas (Lubbock)	Hale County-Tuco 115kV ftlo Swisher County-Tuco 230kV (SPS)
TMP118_22847	Central Oklahoma	Southard-Roman Nose 138kV ftlo Tatonga-Matthewson 345kV (OGE)
TMP151_23193	SW Missouri/SE Kansas	Oakland E Switch-Joplin Atlas Jct 161kV ftlo Asbury-Purcell SW 161kV (EDE)
TMP109_22593*	SE Oklahoma	Stonewall Tap-Tupelo Tap 138kV (WFEC) ftlo Seminole-Pitt 345kV (CSWS-OKGE)
TEMP29_23044	SE Oklahoma	Stonewall Tap-Tupelo Tap 138kV (WFEC) ftlo Pittsburg-Valliant 345kV (CSWS)
TMP144_22843	Central Oklahoma	Woodring Xfmr 345/138kV ftlo Woodring-Sooner 345kV (OGE)
TAHH59MUSFTS	Oklahoma/Arkansas border	Tahlequah-Highway 59 161kV ftlo Muskogee-Fort Smith 345kV (GRDA-OKGE)
TMP206_22886	West Texas (Lubbock)	Kress-Hale County 115kV ftlo Swisher-Tuco 230kV (SPS)

* SPP Market-to-Market flowgate

M.3.1. Balancing Authority Report - CPS Performance

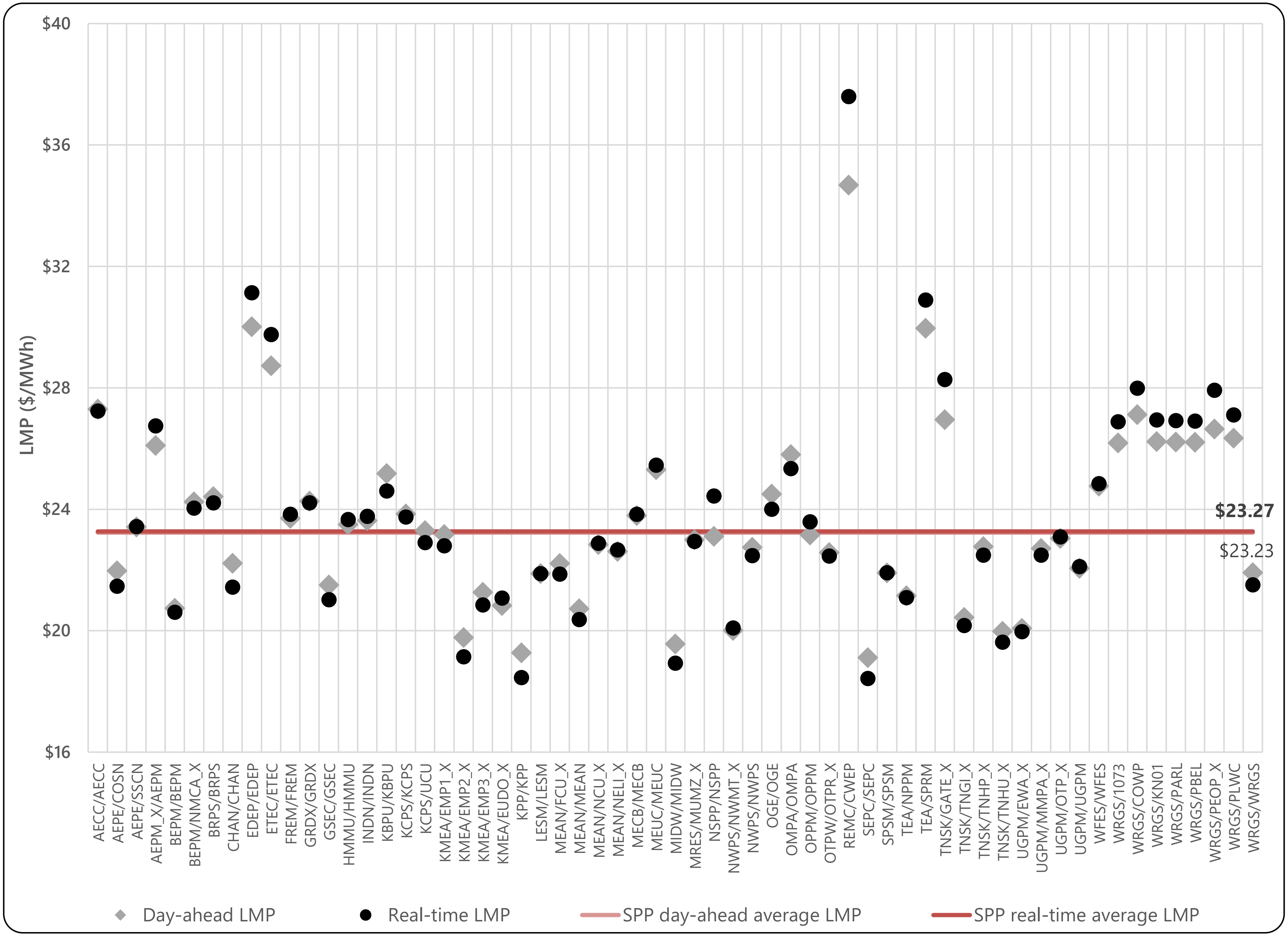


M.3.2. Balancing Authority Report - BAAL Performance

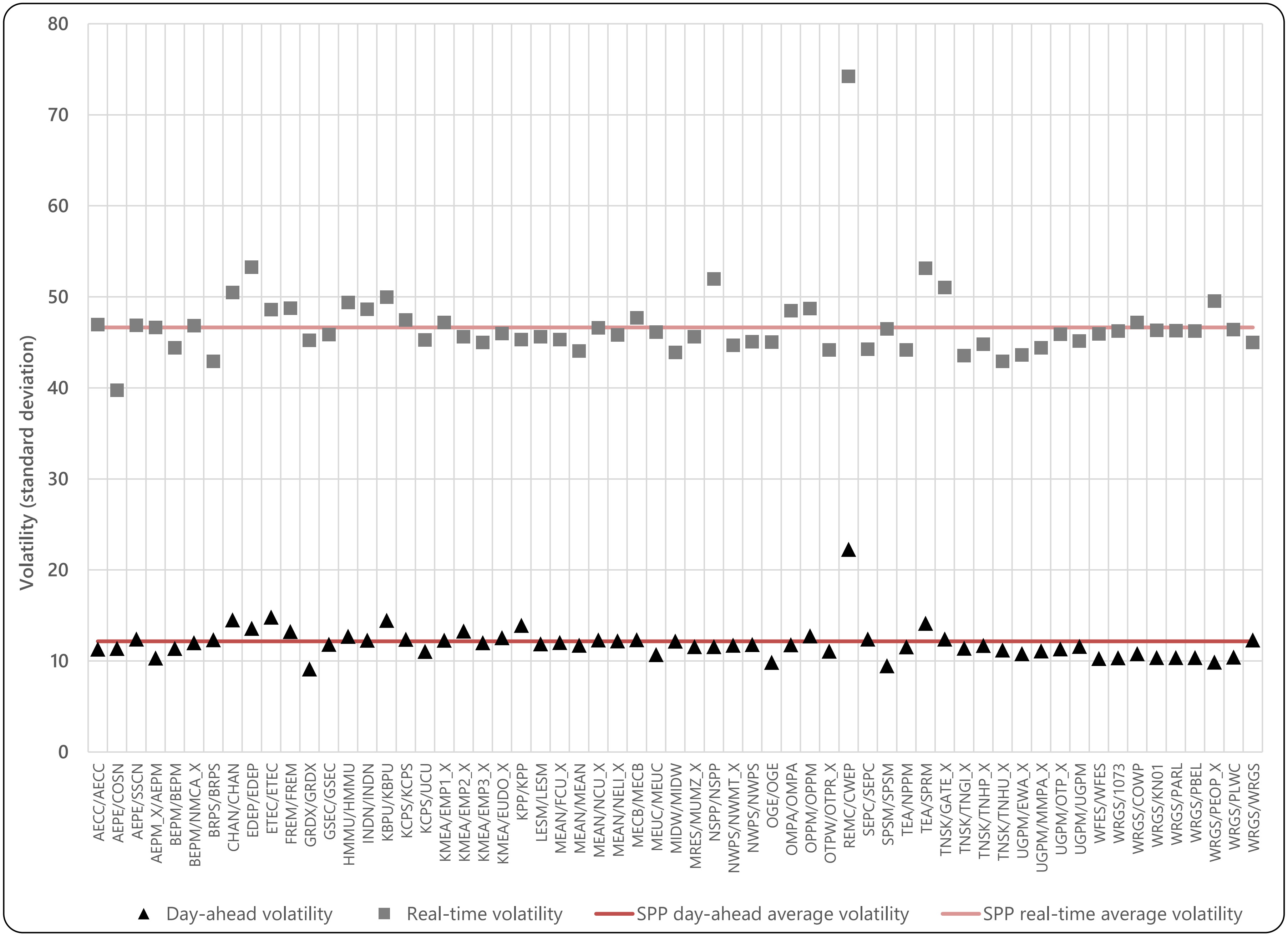


Event Length	Jul 17	Aug 17	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18
>10 and <=20 min	0	0	0	0	0	0	0	0	0	0	0	2	1	0	0
>20 and <=25 min	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
>25 and <=30 min	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
>30 min	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

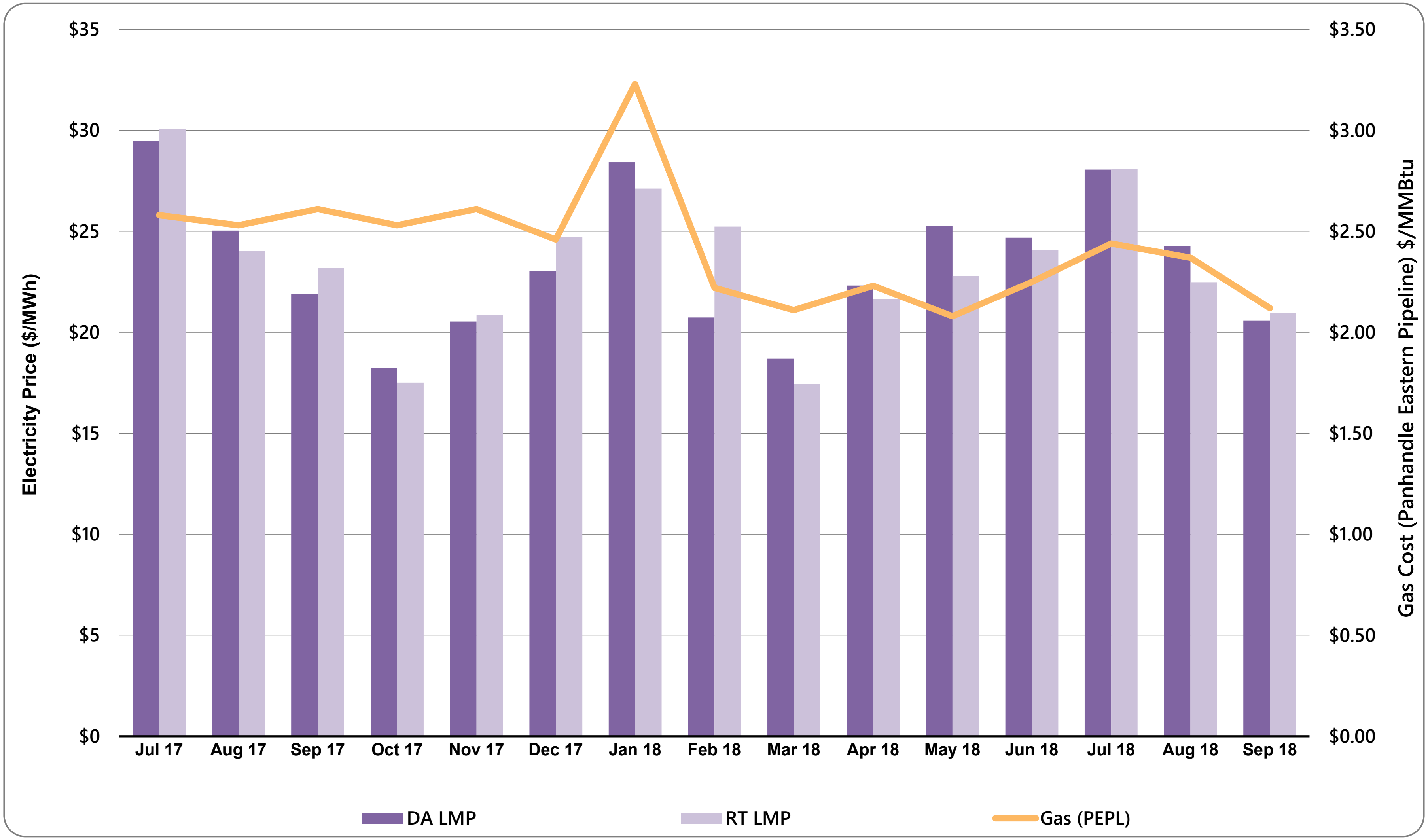
M.4.1. Price (October 2017 - September 2018)



M.4.2. Price Volatility - standard deviation (October 2017 - September 2018)

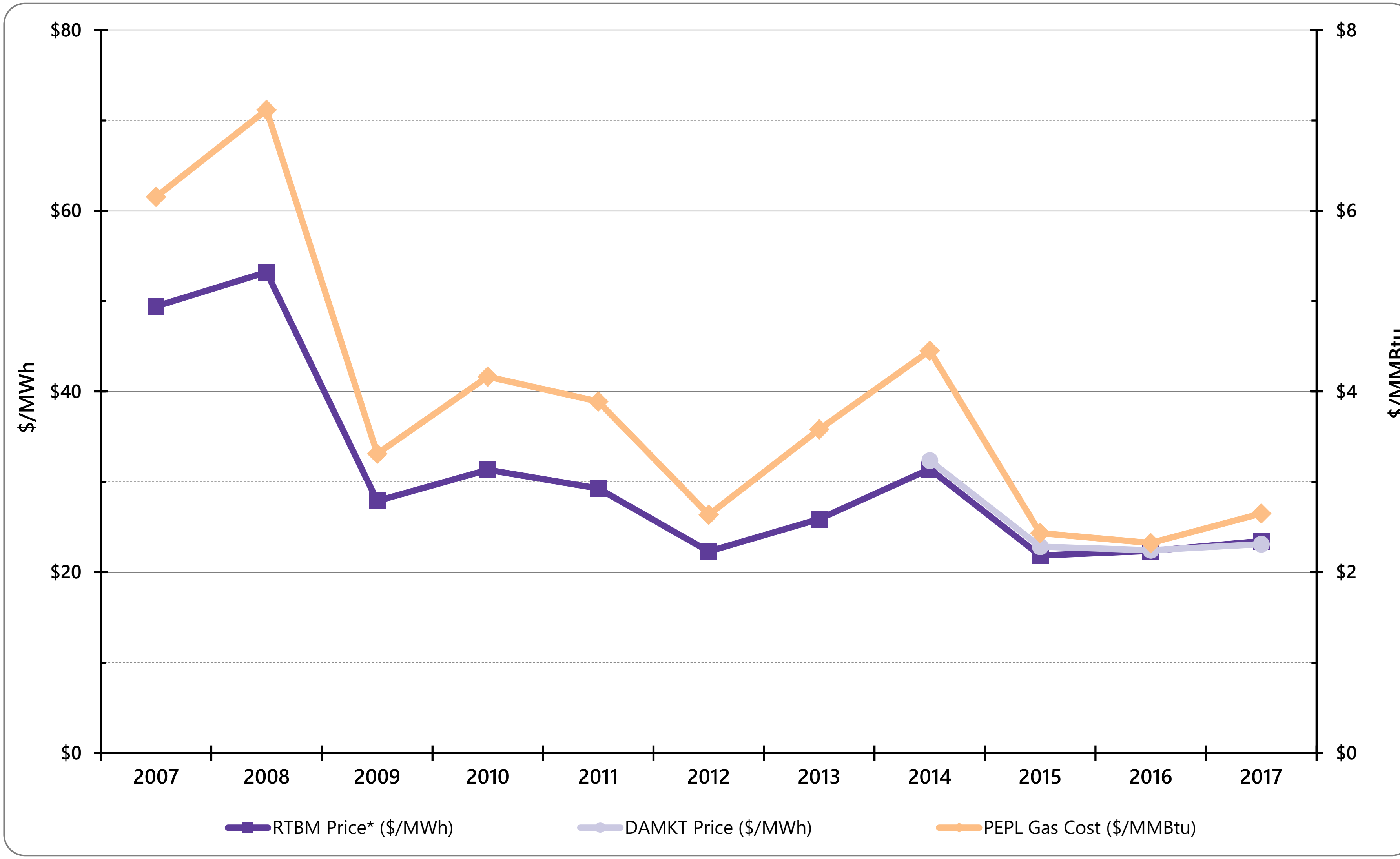


M.4.3. Electricity/Gas Price Comparison



Average in $	Jul 17	Aug 17	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18
DA LMP ($/MWh)	29.46	25.04	21.91	18.23	20.54	23.05	28.43	20.74	18.69	22.32	25.27	24.69	28.06	24.29	20.58
RT LMP ($/MWh)	30.07	24.04	23.19	17.52	20.88	24.71	27.12	25.25	17.46	21.67	22.80	24.06	28.08	22.48	20.96
PEPL Gas Cost ($/MMBtu)	2.58	2.53	2.61	2.53	2.61	2.46	3.23	2.22	2.11	2.23	2.08	2.25	2.44	2.37	2.12

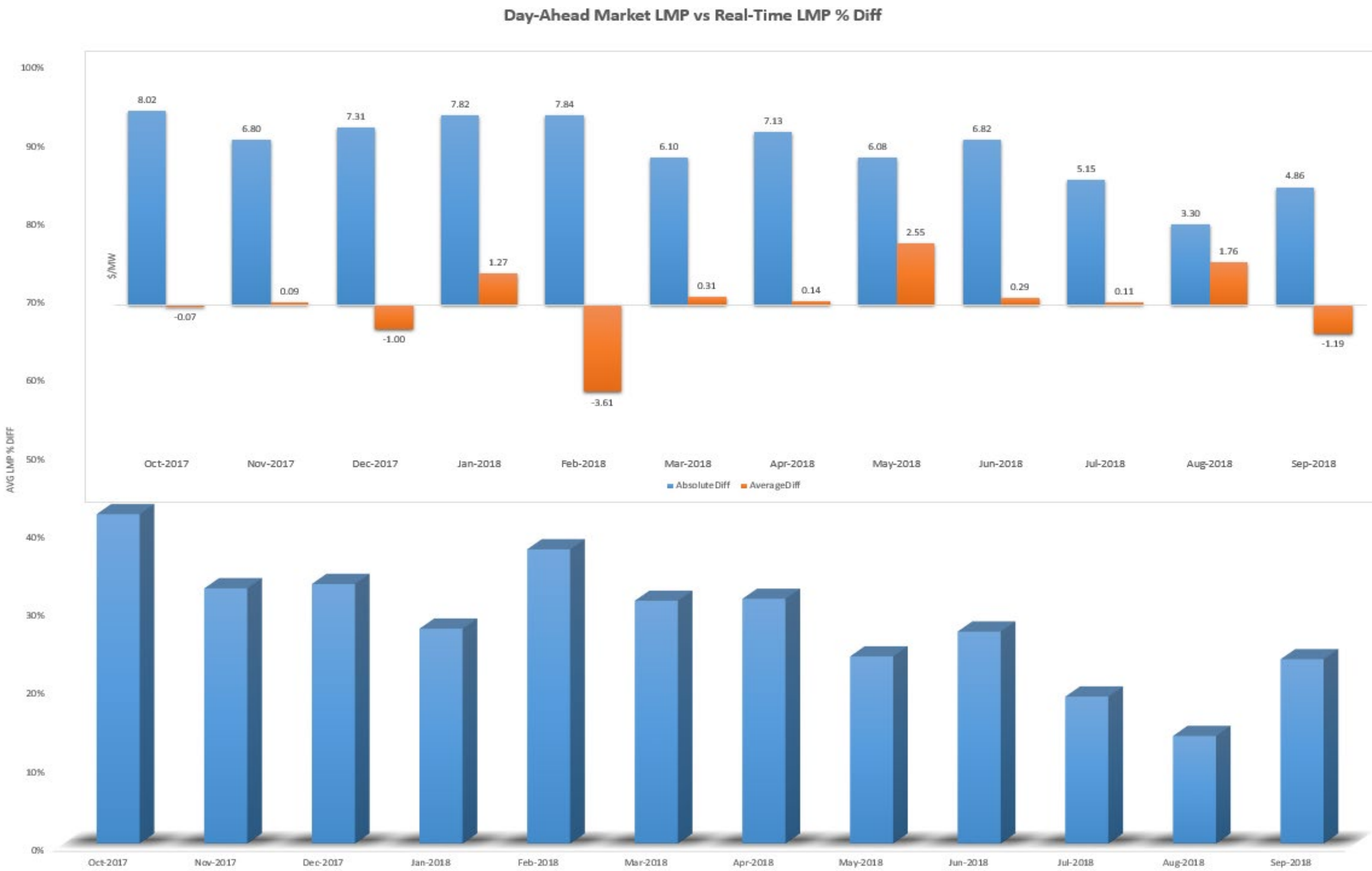
M.4.3.1 Prices - annual



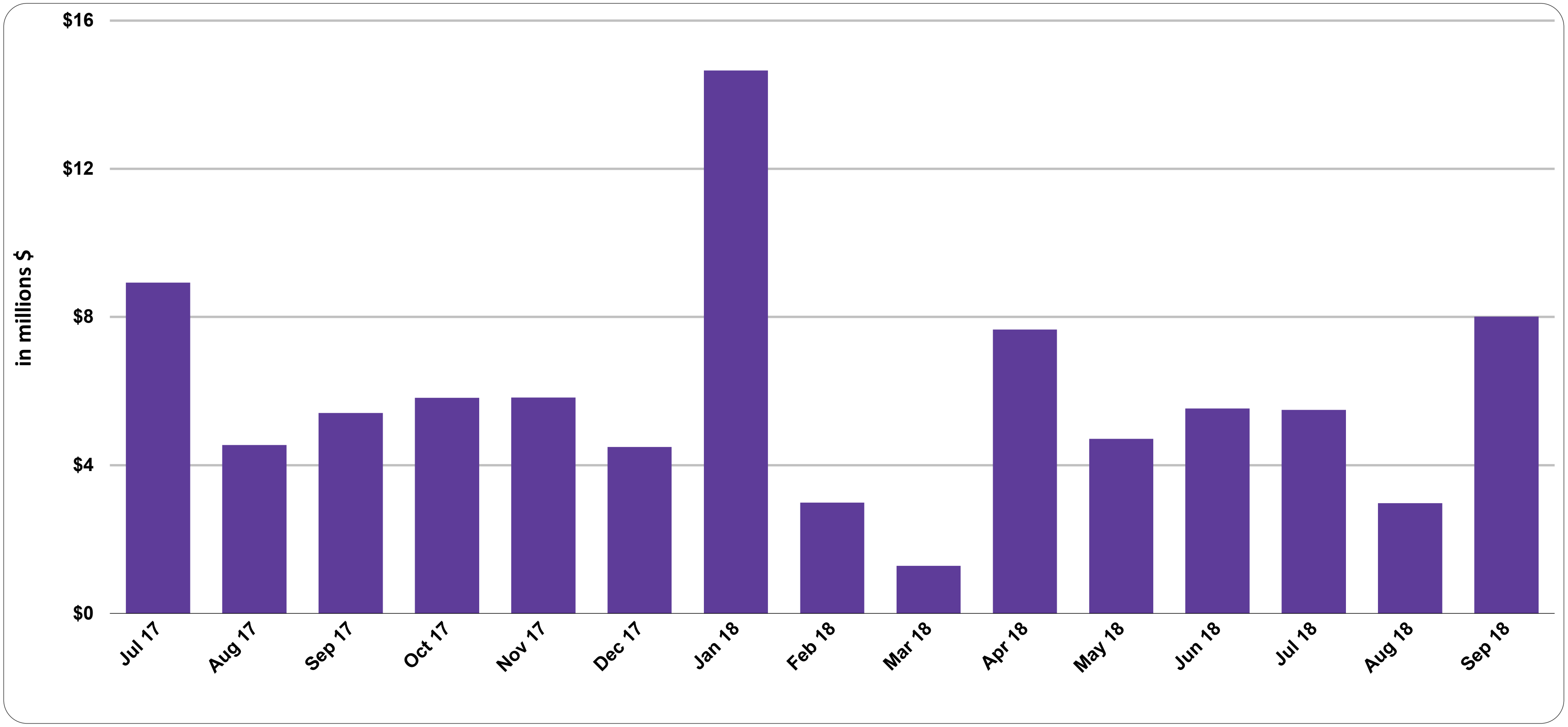
avg (in $)	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
DAMKT Price ($/MWh)								32.36	22.84	22.43	23.11
RTBM Price* ($/MWh)	49.42	53.21	27.89	31.33	29.28	22.29	25.89	31.42	21.85	22.36	23.43
PEPL Gas Cost ($/MMBtu)	6.15	7.12	3.31	4.17	3.89	2.64	3.58	4.45	2.43	2.32	2.65

** 2014 RTBM includes last two months of LIP for the EIS market, and RTBM LMP for the first ten months of the Integrated Marketplace. All prior years use EIS LIP.*

M.4.4. Price Divergence

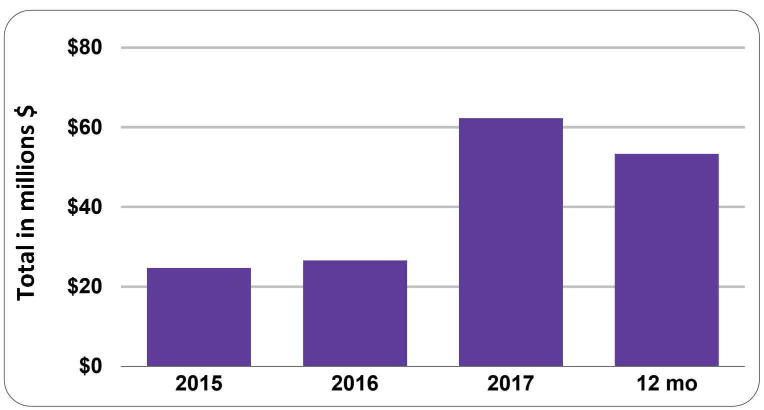


M.5.1. Revenue Neutrality Uplift



in thousands $	Jul 17	Aug 17	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18
Total Uplift	8,930	4,543	5,408	5,820	5,830	4,490	14,652	2,990	1,288	7,665	4,710	5,535	5,493	2,978	8,012

2015	2016	2017	12 mo
24,721	26,566	62,268	53,322
Total			



Revenue Neutrality Uplift (RNU) ensures settlement payments/receipts for each settlement interval equal zero.

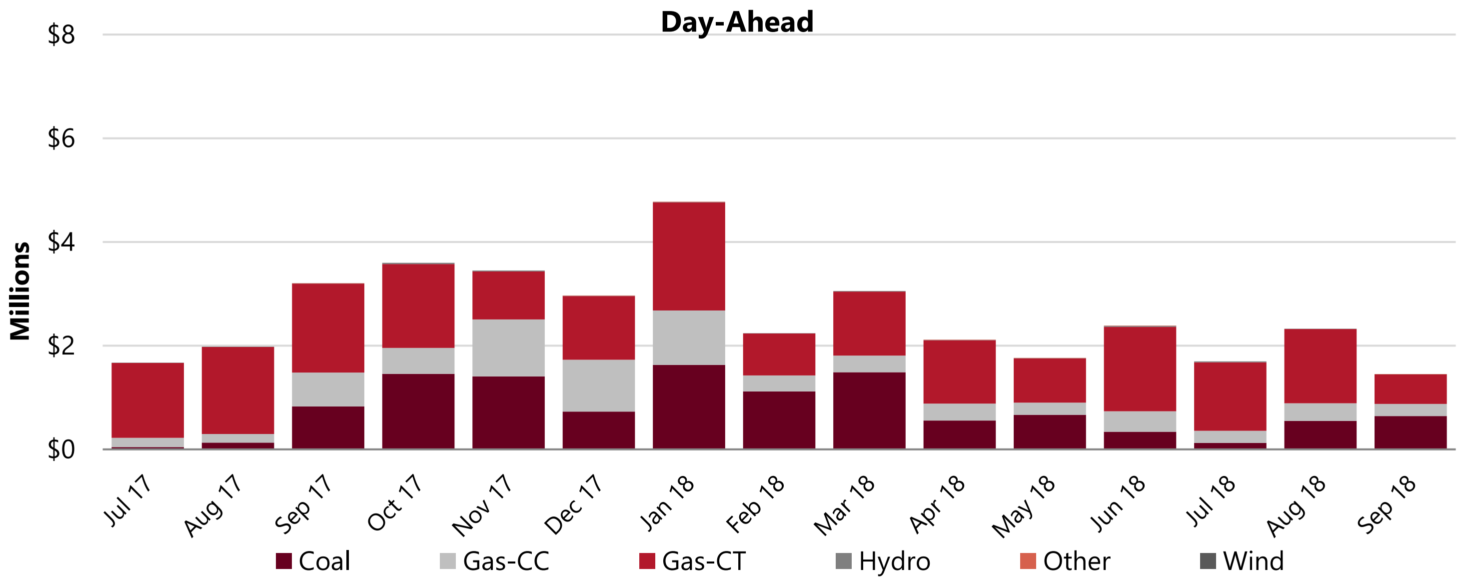
- *Positive RNU - SPP receives insufficient revenue and collects from market participants.*
- *Negative RNU - SPP receives excess revenue, which must be credited back to market participants.*

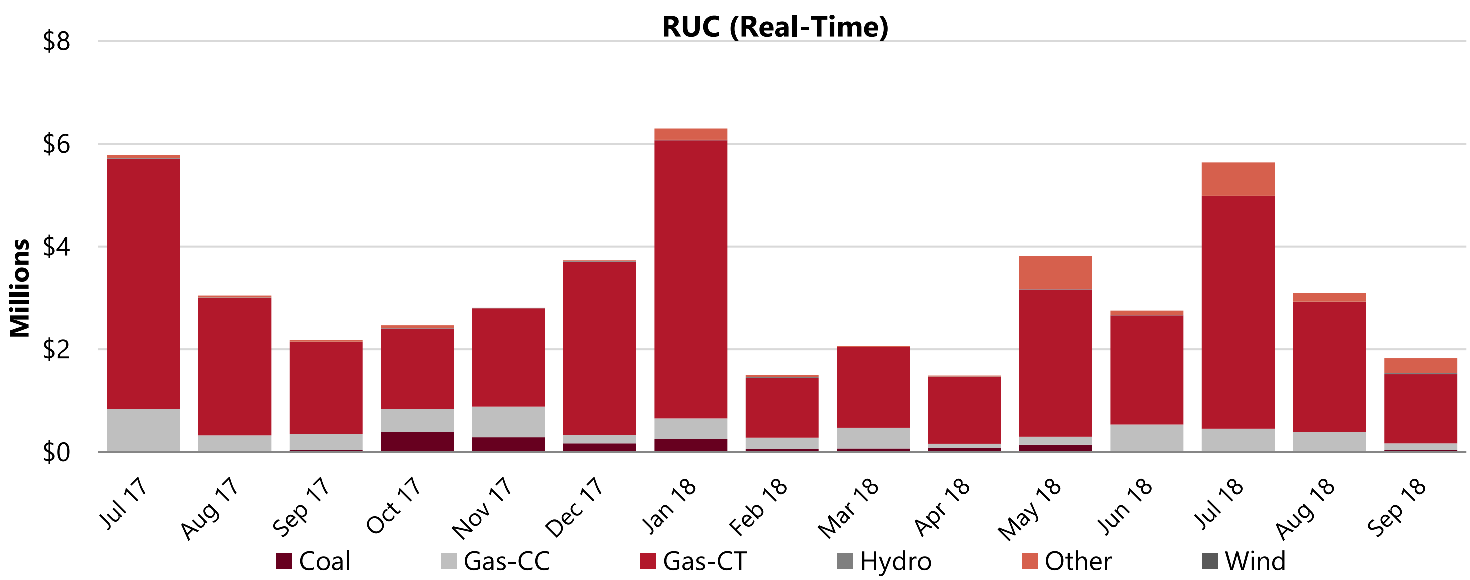
M.5.1.1 Revenue Neutrality Uplift Table

in thousands $	Jul 17	Aug 17	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18
DA Revenue Inadequacy	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
RT Revenue Inadequacy	-29	-55	-29	-91	-46	-149	-78	-38	-9	22	24	-83	-101	-52	-71
RT OOME MWP	-297	-359	-601	-2,381	-823	-327	-1,080	-1,073	-364	-392	-158	-199	-498	-64	-176
RT Regulation Deployment Adj	-321	-168	-257	-242	-221	-262	-305	-85	-7	-201	47	-168	-102	-19	-42
RT JOA Adj	-1,229	161	906	5,266	5,234	4,272	7,051	3,954	3,341	1,924	300	28	-1,653	-513	-238
RT Congestion Adj	-6,709	-3,645	-5,150	-8,698	-10,018	-7,803	-20,045	-5,665	-4,483	-8,805	-4,876	-4,885	-2,849	-2,295	-7,480
SUBTOTAL	-8,584	-4,066	-5,131	-6,146	-5,874	-4,269	-14,458	-2,908	-1,521	-7,452	-4,664	-5,308	-5,201	-2,943	-8,006
Less RT Net Inadvertent Adj	346	477	278	-326	-44	221	194	82	-234	214	46	227	292	35	6
TOTAL RNU	8,930	4,543	5,408	5,820	5,830	4,490	14,652	2,990	1,288	7,665	4,710	5,535	5,493	2,978	8,012

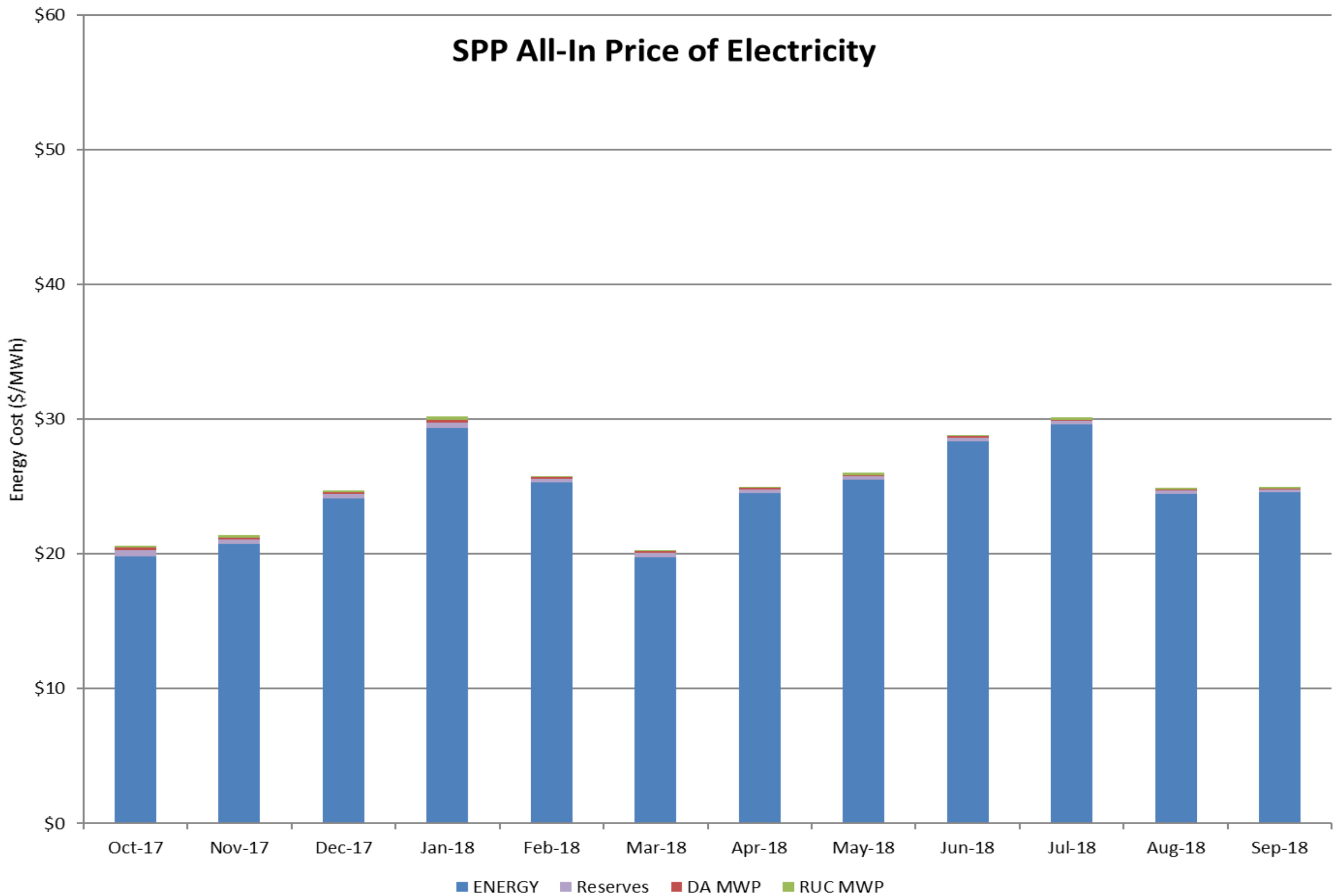
** This table is based on the latest available settlements data and is subject to change due to resettlement.*

M.5.2. Make Whole Payments

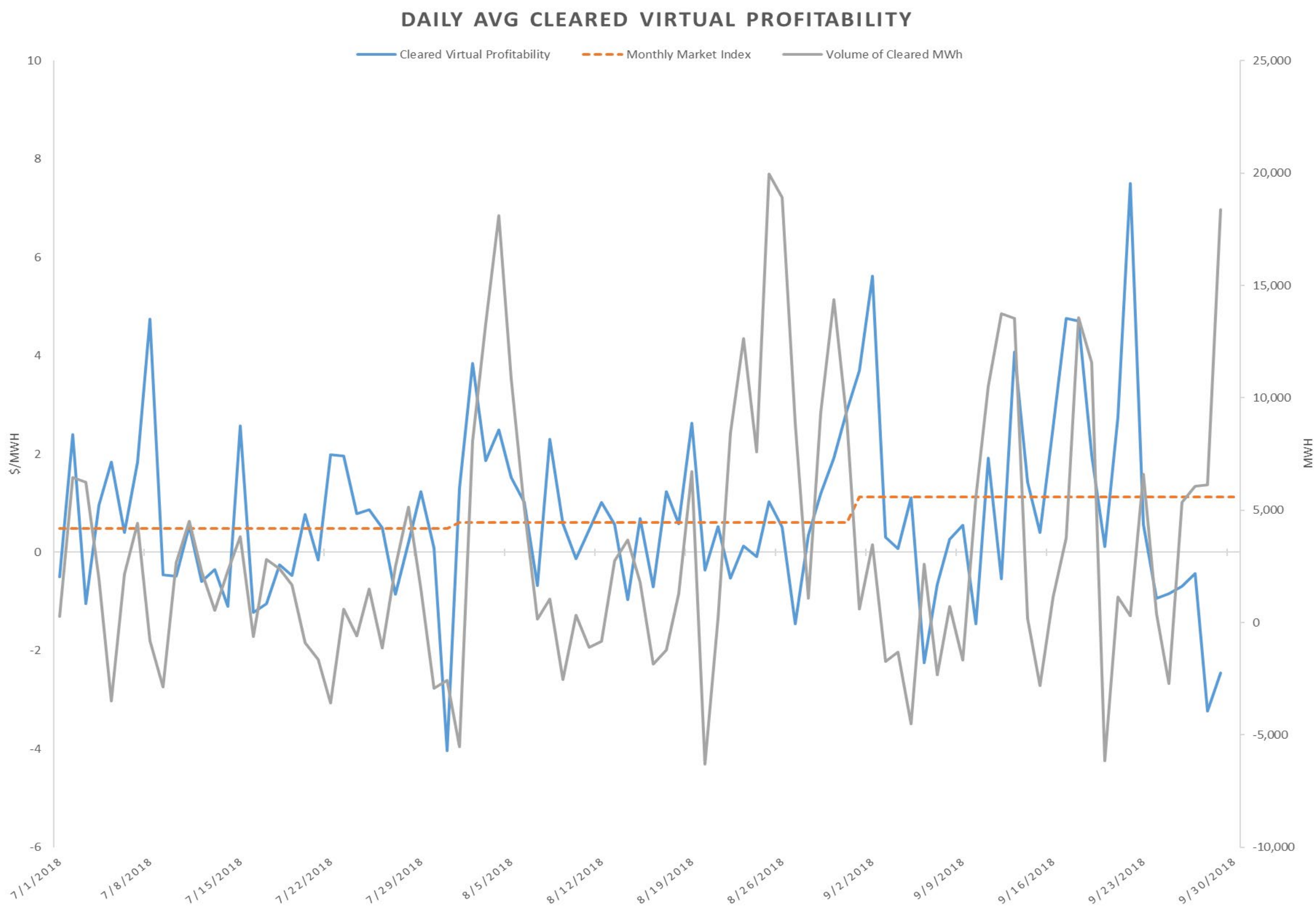




M.5.3. All-In Price

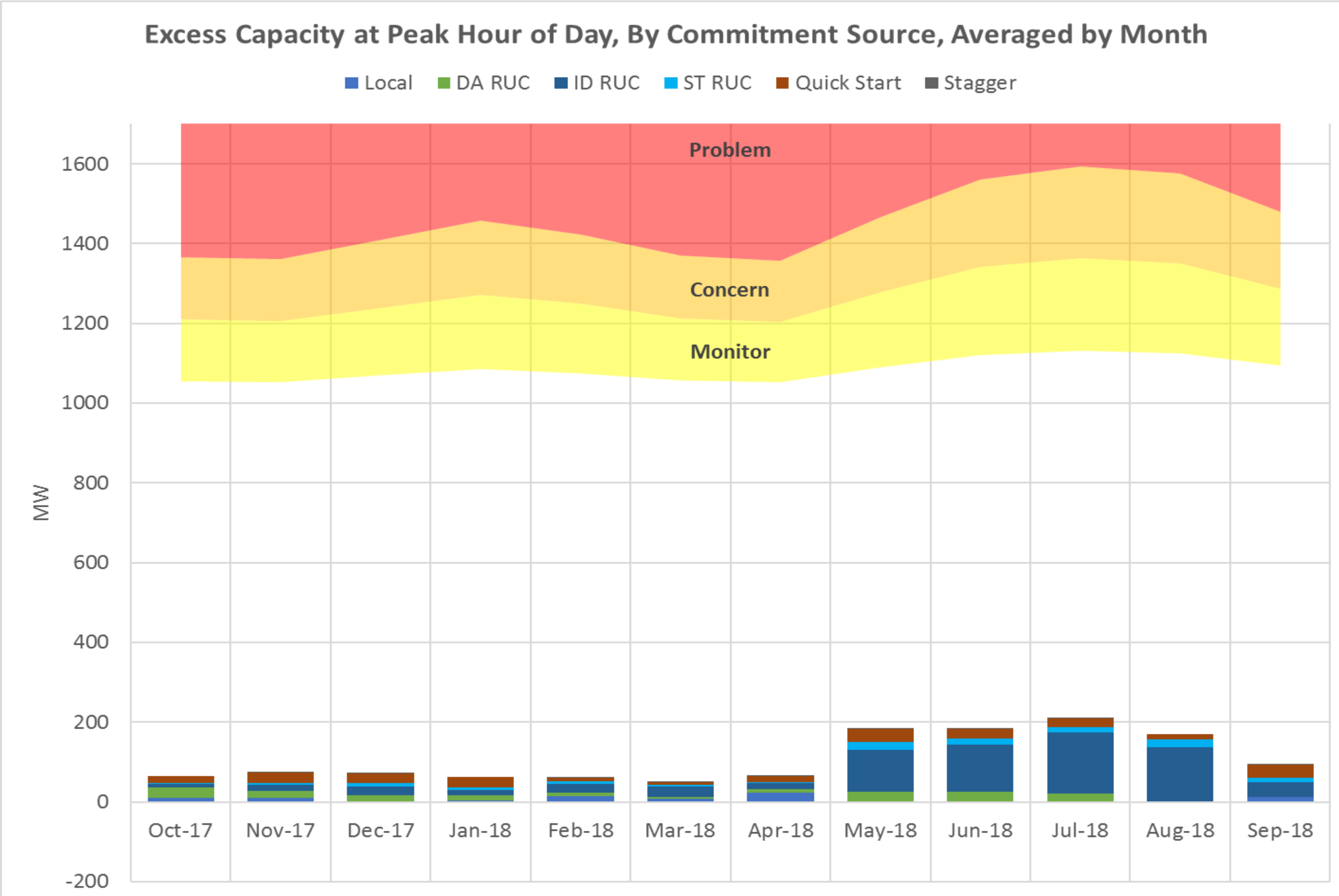


M.6. Virtual Activity

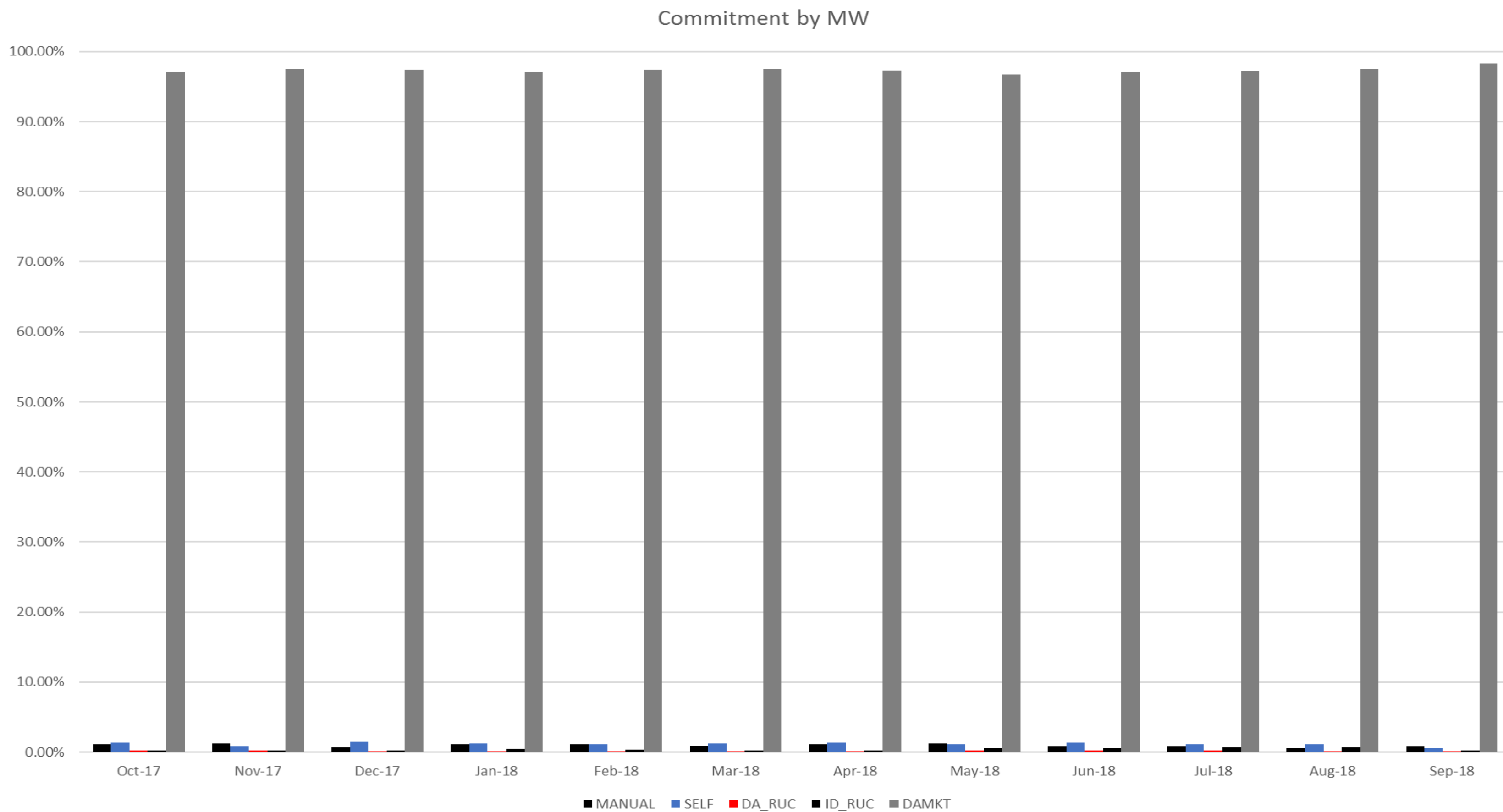


*Monthly Market Index - The sum of profit/losses for all cleared virtual transactions divided by the volume (MWh) of total cleared transactions.

M.7.1. Excess Capacity



M.7.2. Source of Commitment



DA_RUC – Day-Ahead Reliability Unit Commitment
ID_RUC – Intra-Day Reliability Unit Commitment
DAMKT – Day-Ahead Market

Financial Metrics

F.1.1. Admin Fee Measurement

SPP Administrative Fee, NRR & Billing Determinants Metric
FY Forecast vs. Budget Variance
(millions)

	FY Forecast vs. Budget Variance as of:		
	Jul-18	Aug-18	Sep-18
Gross Revenue Requirement (GRR)	$5.2	$4.5	$4.3
Net Revenue Requirement (NRR)	$9.8	$9.2	$9.1
Admin Fee Revenue Collected	$0.9	$1.0	$1.2
Over/(Under) Recovery	$10.7	$10.2	$10.3
Billing Determinants (MWh)	2.1	2.4	2.1

F.1.2. Admin Fee Measurement

SPP Administrative Fee, Net Revenue Requirement & Load Metric
FY Forecast as of September 30, 2018
(millions)

	2018 Fcst	2018 Budget	Fav /(Unfav)
Gross Revenue Requirement (GRR)	$163.6	$167.9	$4.3
Net Revenue Requirement (NRR)	$154.9	$164.0	$9.1
Admin Fee Revenue Collected	$165.2	$164.0	$1.2
Over/(Under) Recovery	$10.3	($0.0)	$10.3
Billing Determinants (MWh)	384.2	382.1	2.1

Legend

	NRR	MWh	Admin Fee
2018 Budget	$164.0	382.1	$0.43
1¢ Unfavorable NRR/Load Threshold	$166.3	377.0	$0.44
1¢ Unfavorable Impact Factor	($2.3)	(5.1)	($0.01)

NRR

Red	> = $2.3 unfavorable
Yellow	between $1.1 and $2.2 unfavorable
Green	< = $1.0 unfavorable

Billing Determinants (MWh)

Red	> = 5.1 unfavorable
Yellow	between 3.1 and 5.0 unfavorable
Green	< = 3.0 unfavorable

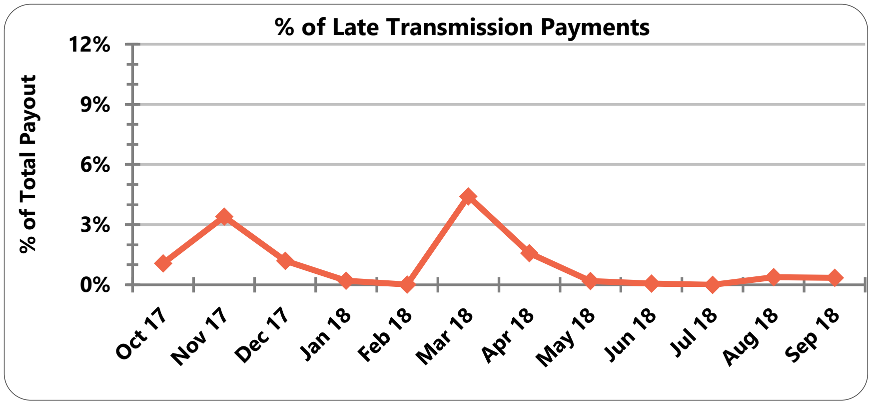
F.1.3. Admin Fee Measurement

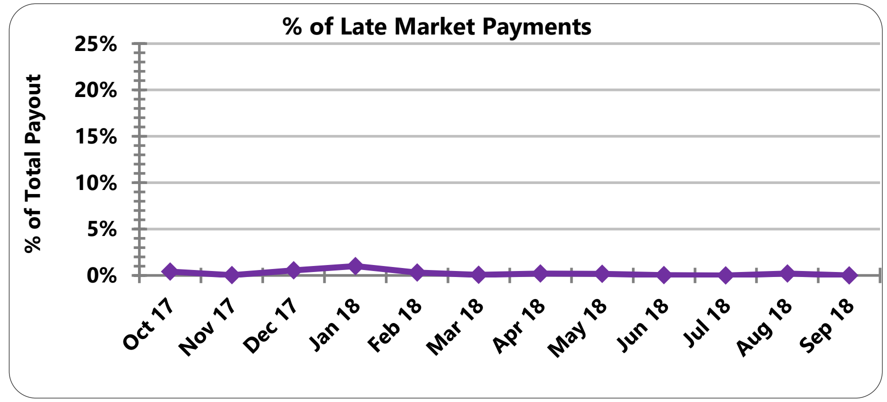
SPP Administrative Fee Performance

	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018
Approved Budget										
Net Revenue Required (millions)	$56.5	$68.4	$78.6	$89.6	$121.8	$132.6	$141.2	$150.5	$160.5	$164.0
MWh Load (millions)	331.3	333.5	343.0	353.5	360.9	348.2	363.5	407.2	383.0	382.1
NRR / Billing Determinants (MWh millions)	$0.170	$0.205	$0.229	$0.253	$0.338	$0.381	$0.389	$0.370	$0.419	$0.429
Approved Admin Fee	$0.170	$0.195	$0.210	$0.255	$0.315	$0.381	$0.390	$0.370	$0.419	$0.429
Actual/Forecast										
Net Revenue Required (millions)	$59.8	$63.5	$80.8	$84.8	$123.3	$137.0	$142.6	$151.6	$159.6	$154.9
MWh Load (millions)	328.2	331.6	341.4	361.7	357.5	351.0	373.6	394.5	388.6	384.2
NRR / Billing Determinants (MWh millions)	$0.182	$0.191	$0.237	$0.234	$0.345	$0.390	$0.382	$0.384	$0.411	$0.403
Calcuated Rate Over/(Under) Budget	$0.012	($0.014)	$0.008	($0.019)	$0.007	$0.009	($0.008)	$0.015	($0.008)	($0.026)
Billing Determinants Growth	10.82%	1.05%	2.96%	5.93%	(1.15%)	(1.83%)	6.46%	5.59%	(1.50%)	*(2.63%)*
NRR (calculated rate times billing determinants)	$59.8	$63.5	$80.8	$84.8	$123.3	$137.0	$142.6	$151.6	$159.6	$154.9
Admin fee collected *	$55.3	$64.3	$71.7	$92.2	$112.6	$133.7	$145.7	$146.0	$162.8	$165.2
Difference Over/(Under)	($4.5)	$0.8	($9.1)	$7.5	($10.7)	($3.2)	$3.1	($5.7)	$3.3	$10.3

* Admin fee collected excludes adjustments for monthly assessment refunds to reflect actual billing determinants for 2015 and 2016.

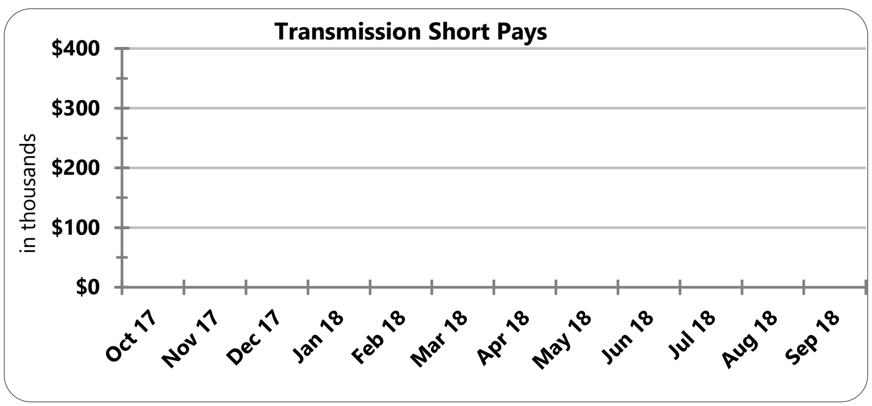
F.2. Credit

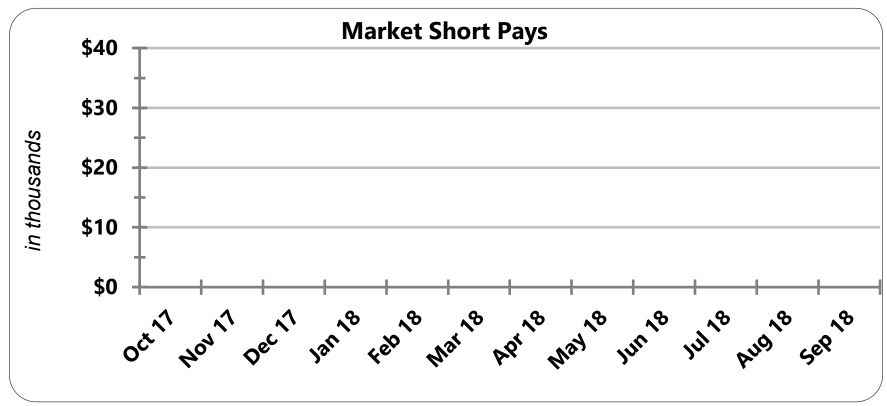




Transmission ($000s)	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	12 mo
Late Payments	$534	$1,745	$552	$98	$8	$2,199	$798	$92	$33	$0	$206	$184	$6,450
Total Payments	$49,987	$51,403	$46,057	$46,572	$47,918	$49,788	$50,333	$50,394	$53,951	$53,565	$54,159	$53,515	$607,641
% Late Payments	1%	3%	1%	0%	0%	4%	2%	0%	0%	0%	0%	0%	1%

Market ($000s)	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	12 mo
Late Payments	$340	$13	$463	$960	$231	$58	$186	$134	$13	$8	$152	$2	$2,561
Total Payments	$84,790	$68,822	$82,220	$95,379	$72,756	$70,780	$93,632	$86,671	$74,929	$117,544	$78,359	$70,340	$996,223
% Late Payments	0%	0%	1%	1%	0%	0%	0%	0%	0%	0%	0%	0%	0%



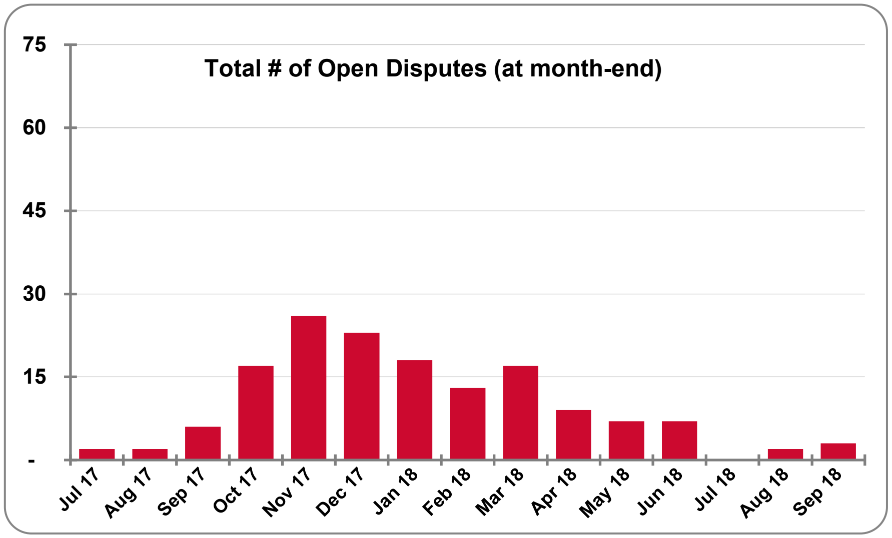


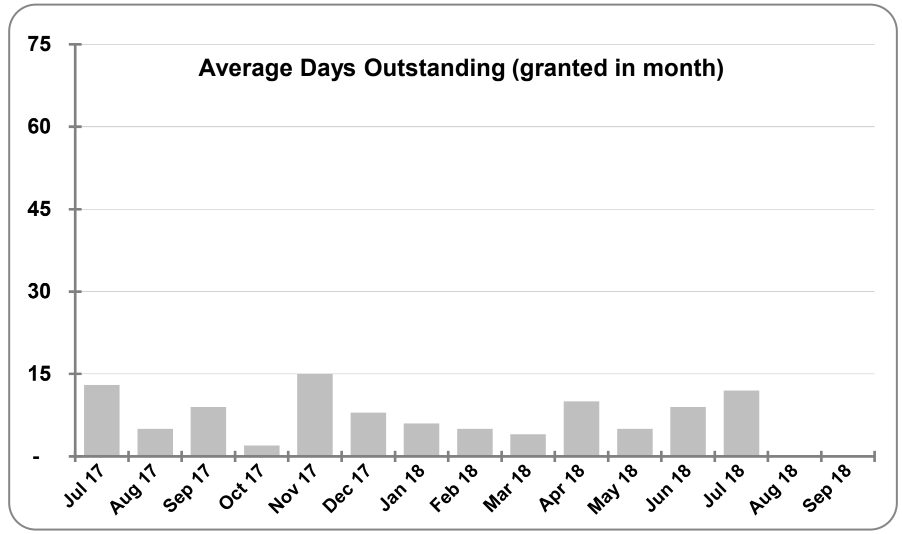
Short Pays ($000s)	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	12 mo
Transmission	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Market	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0

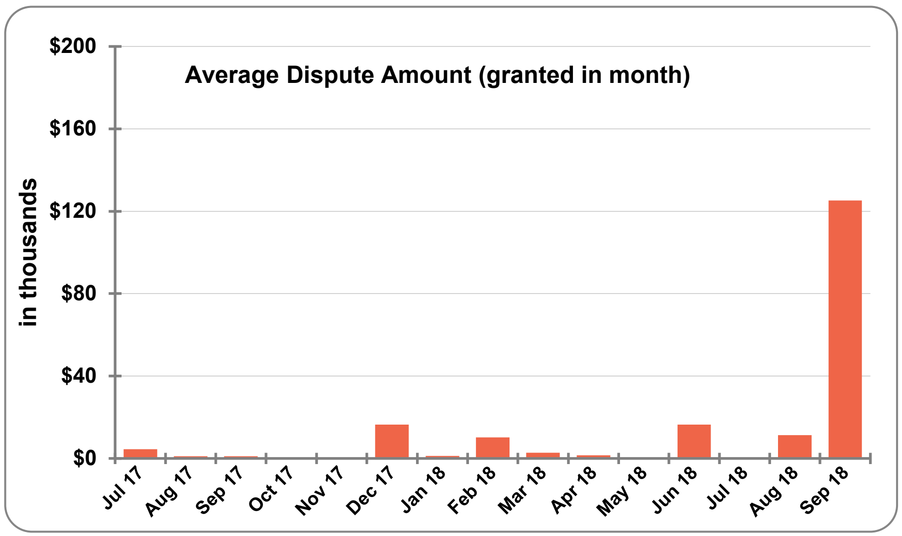
Uncollectible ($000s)	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18	12 mo
Transmission	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0
Market	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0	$0

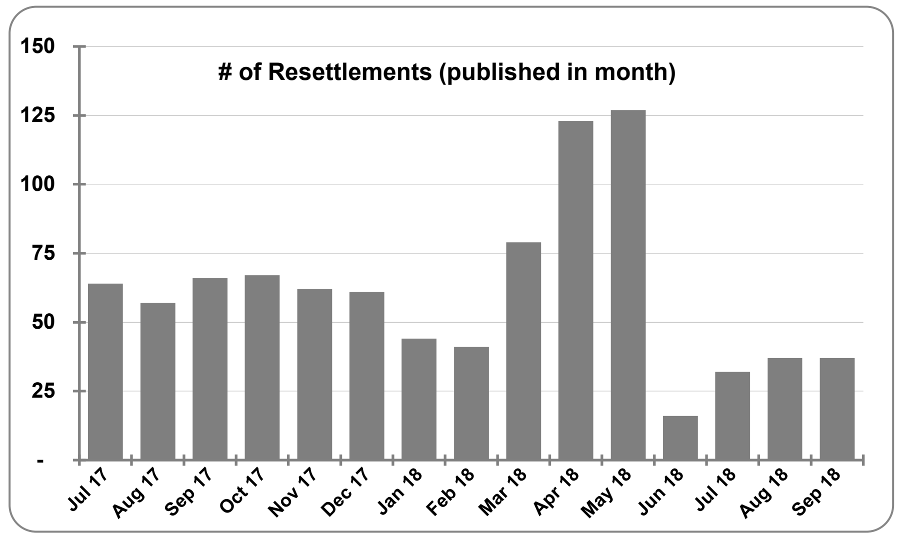
Financial Metrics

F.3. Settlement Disputes



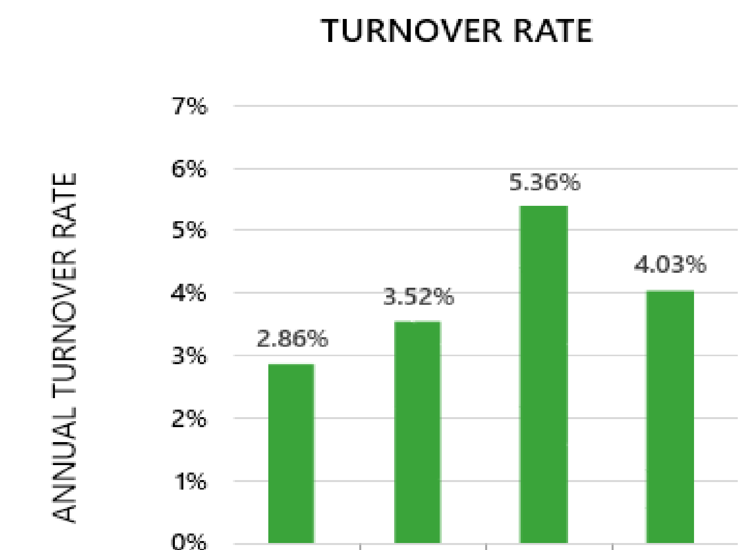




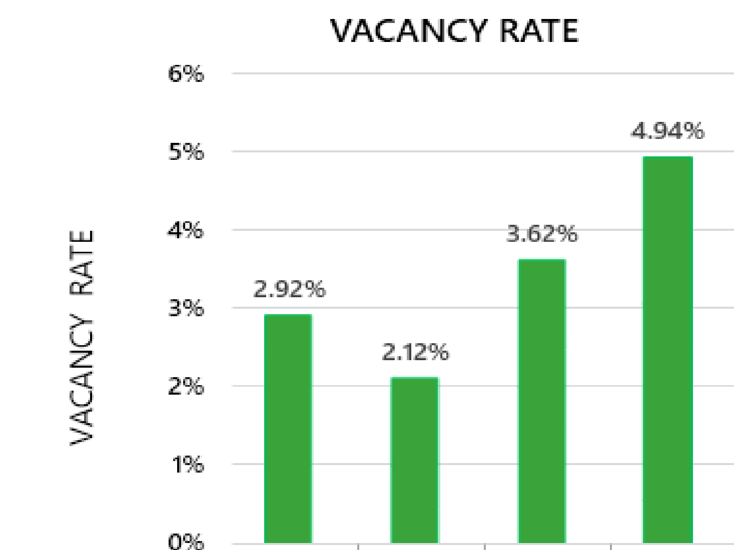


	Jul 17	Aug 17	Sep 17	Oct 17	Nov 17	Dec 17	Jan 18	Feb 18	Mar 18	Apr 18	May 18	Jun 18	Jul 18	Aug 18	Sep 18
Total # of Open Disputes (at month-end)	2	2	6	17	26	23	18	13	17	9	7	7	-	2	3
Average Days Outstanding (granted in month)	13	5	9	2	15	8	6	5	4	10	5	9	12	-	-
Average Dispute Amount (granted in month)	$4.5	$1.1	$1.0	$0.0	$0.0	$16.4	$1.2	$10.2	$2.7	$1.5	$0.5	$16.5	$0.1	$11.3	$125.3
# of Resettlements (published in month)	64	57	66	67	62	61	44	41	79	123	127	16	32	37	37

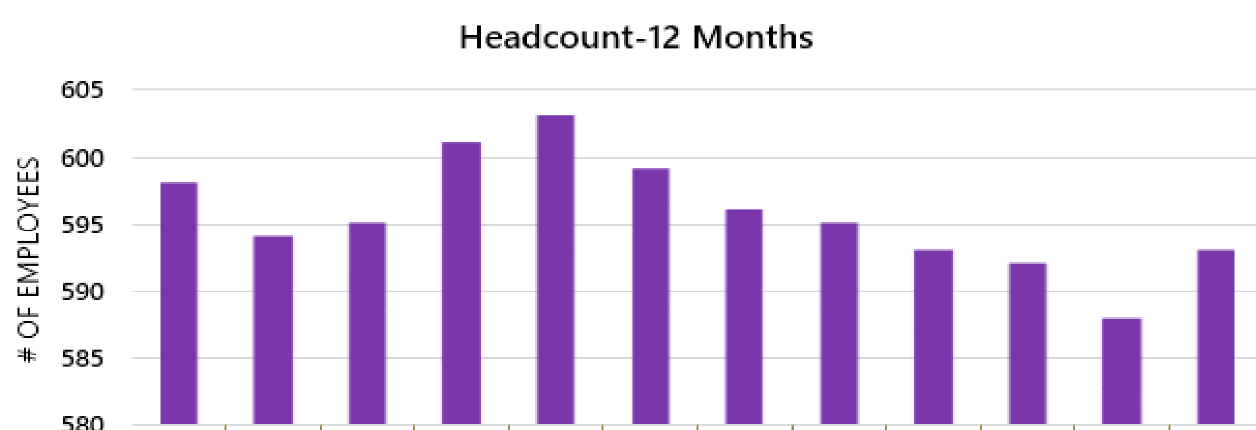
F.4.1. Human Resources



	QTR 4.17	QTR 1.18	QTR 2.18	QTR 3.18
ANNUAL TO RATE	2.86%	3.52%	5.36%	4.03%
SEPARATIONS	4	5	13	7



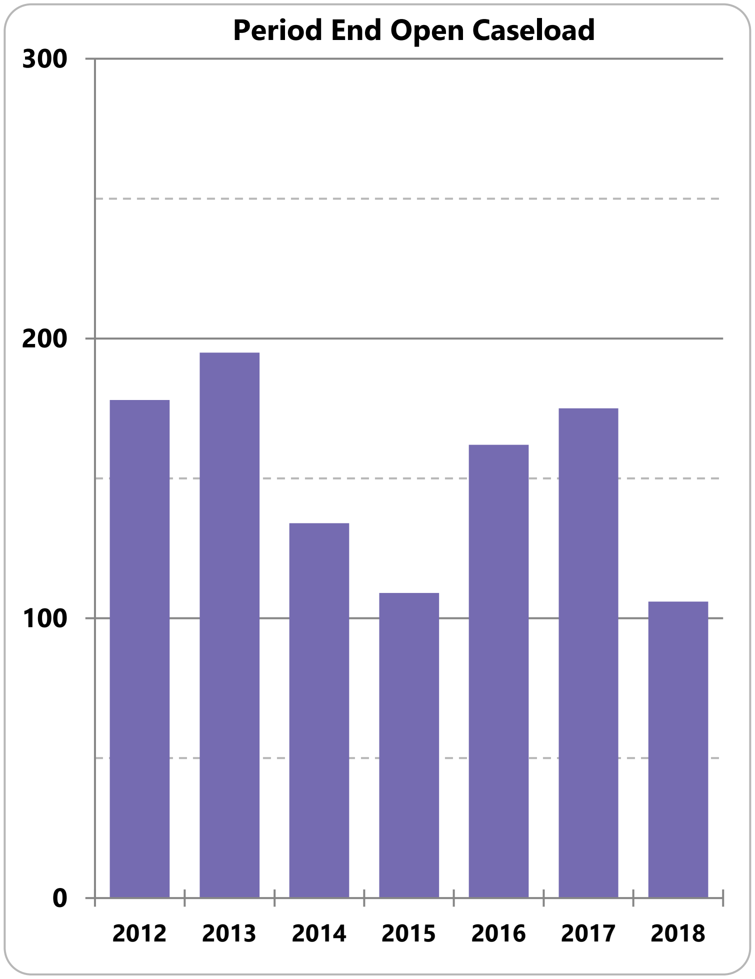
	QTR 4.17	QTR 1.18	QTR 2.18	QTR 3.18
VACANCY RATE	2.92%	2.12%	3.62%	4.94%
# OF VACANCIES	18	13	22	31

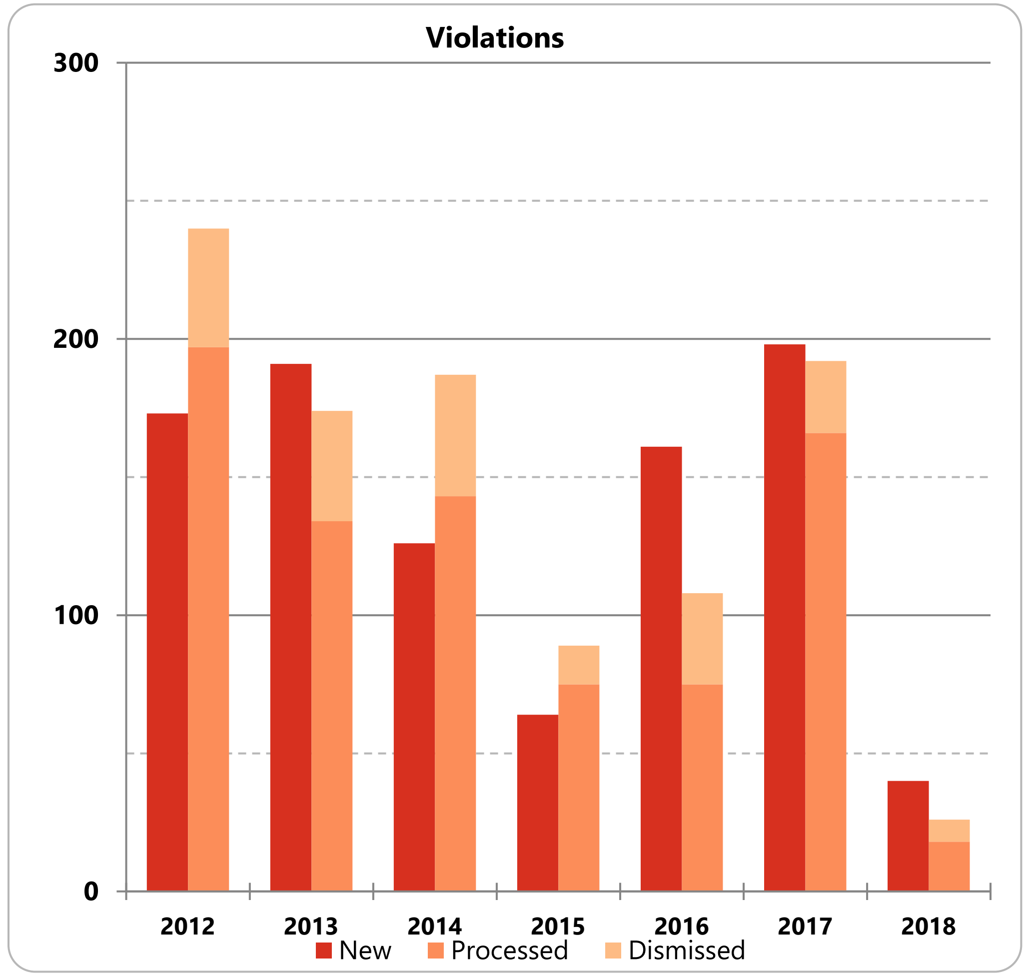


	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	Jul	Aug	Sep
#	598	594	595	601	603	599	596	595	593	592	588	593

Performance

P.1. SPP Regional Entity Compliance (2Q2018 Data)





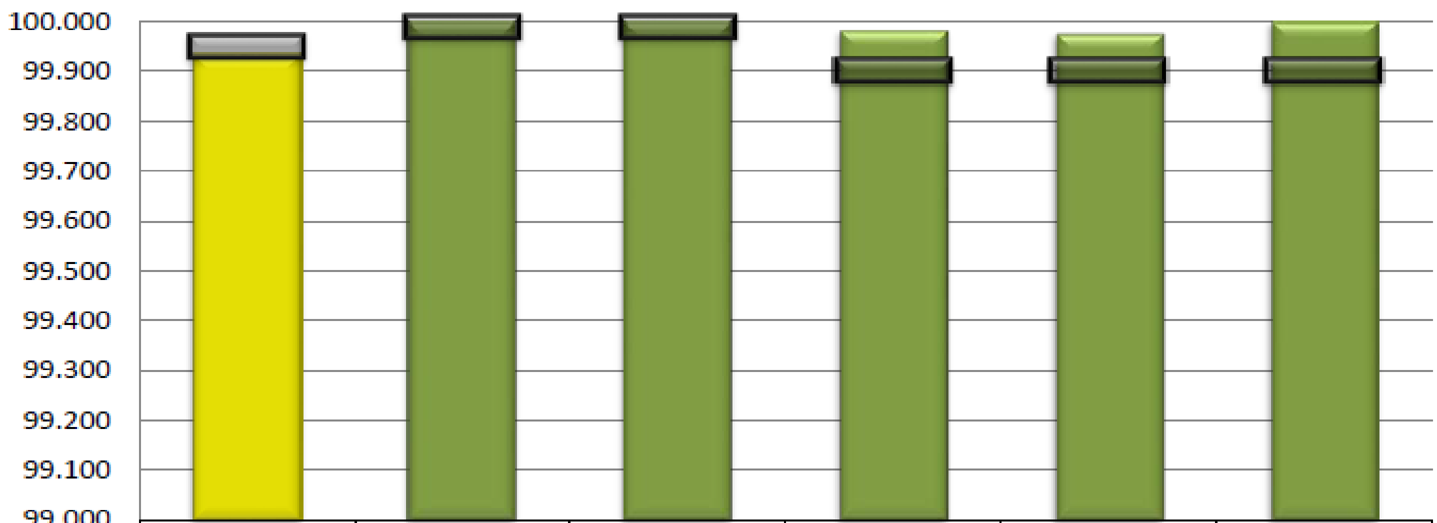
	2012	2013	2014	2015	2016	2017	2018
Starting Caseload	245	178	195	134	109	169	92
New Violations	173	191	126	64	161	198	40
Processed	197	134	143	75	75	166	18
Dismissed	43	40	44	14	33	26	8
Ending Caseload	178	195	134	109	161	175	106
Cumulative Violations	860	1,051	1,177	1,241	1,402	1,600	1,640

Note: 2017 Starting Caseload was adjusted due to additional 2016 MRRE (Multi-Region) violations being added.

Note: 2018 Starting Caseload was adjusted because MRRE (Multi-Region) violations for which SPP RE is not the Lead Region are no longer being tracked in the SPP RE Metrics.

P.2.1. IT System Performance

2018 Cumulative IT Service Availability Through September



	Markets/ RTBM	EMS	ICCP	Marketplace Portal	Market UI/API	Settlement UI/API
2018 Availability	99.935	100.000	100.000	99.982	99.976	100.000
Target Uptime	99.95	99.99	99.99	99.90	99.90	99.90
Cumulative Unavailability (Minutes)	350	0	3	94	129	0
Cumulative Target (Minutes)	263	53	53	526	526	526

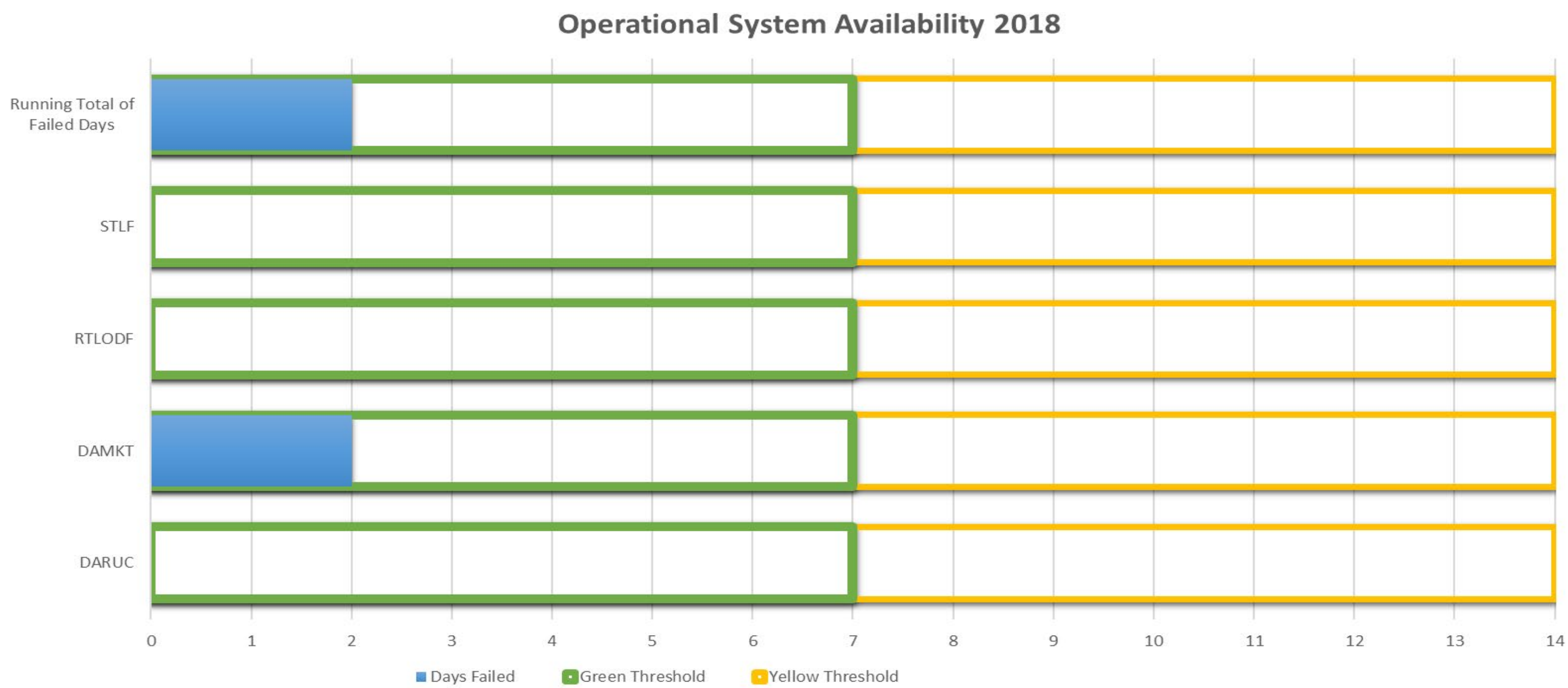
GREEN = Meets and/or Exceeds Target Uptime

YELLOW = Unplanned Outage Below Target Uptime (Severity 1 or 2)

RED = Unplanned Outage Below Target Uptime (Severity 3)

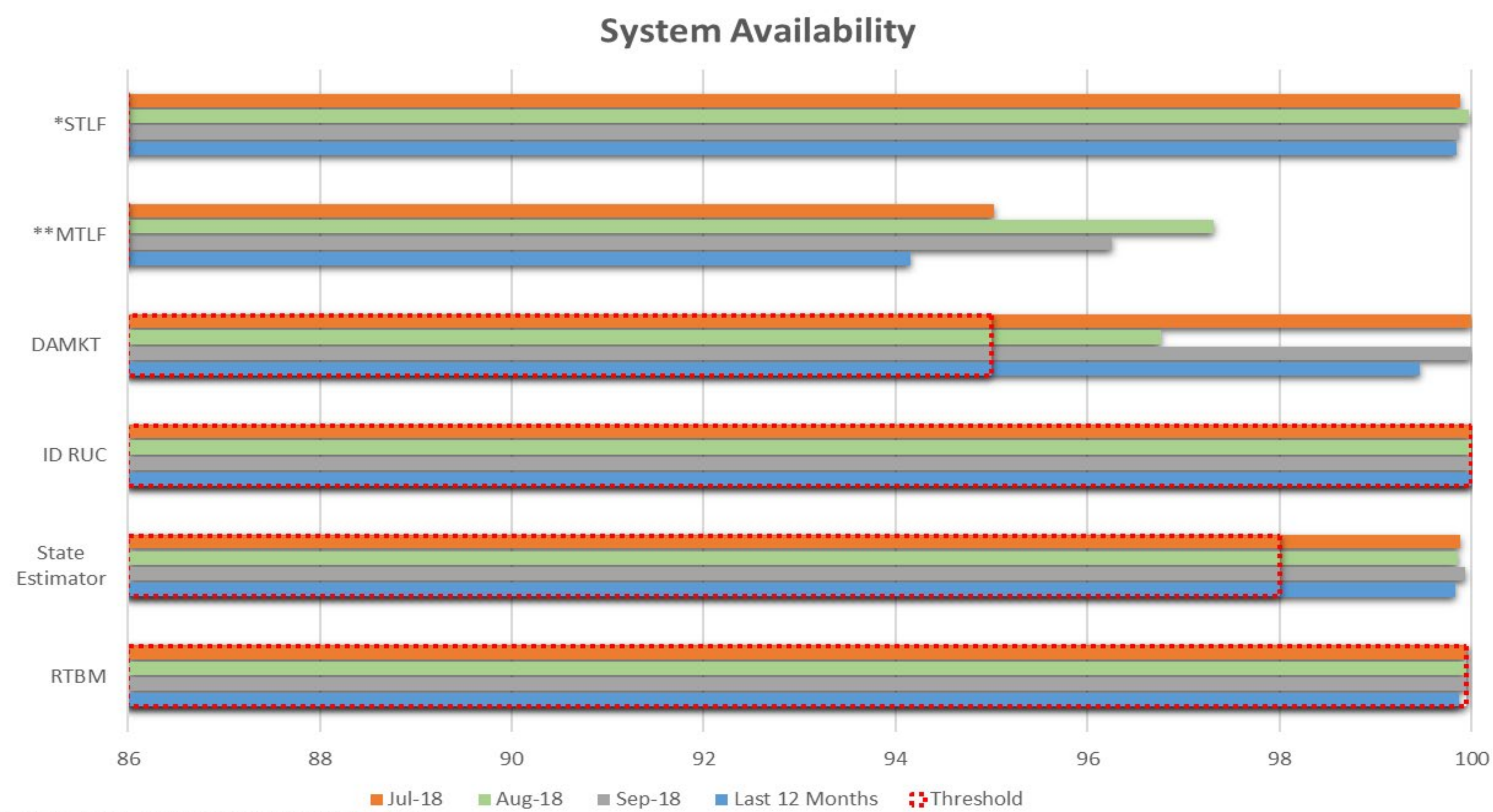
Performance

P.2.2. Operational System Availability



STLF – Short-term load forecast
RTLODF – Real-time Line Outage Distribution Factor
DAMKT – Day-Ahead Market
DARUC – Day-Ahead Reliability Unit Commitment

P.2.3. System Availability



* Percentage of time STLF is within 1% error
** Percentage of time MTLF is withing 5% error

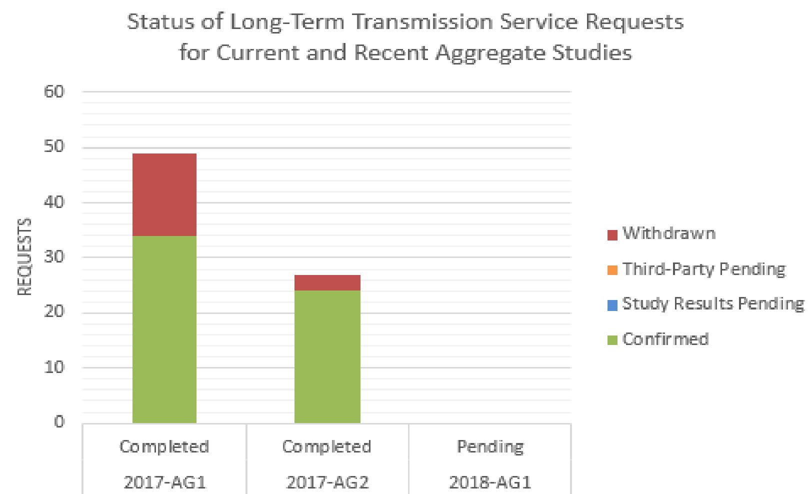
STLF – Short-term Load Forecast
MTLF – Mid-term Load Forecast
DAMKT – Day-Ahead Market
ID RUC – Intra-day Reliability Unit Commitment
RTBM – Real-time Balancing Market

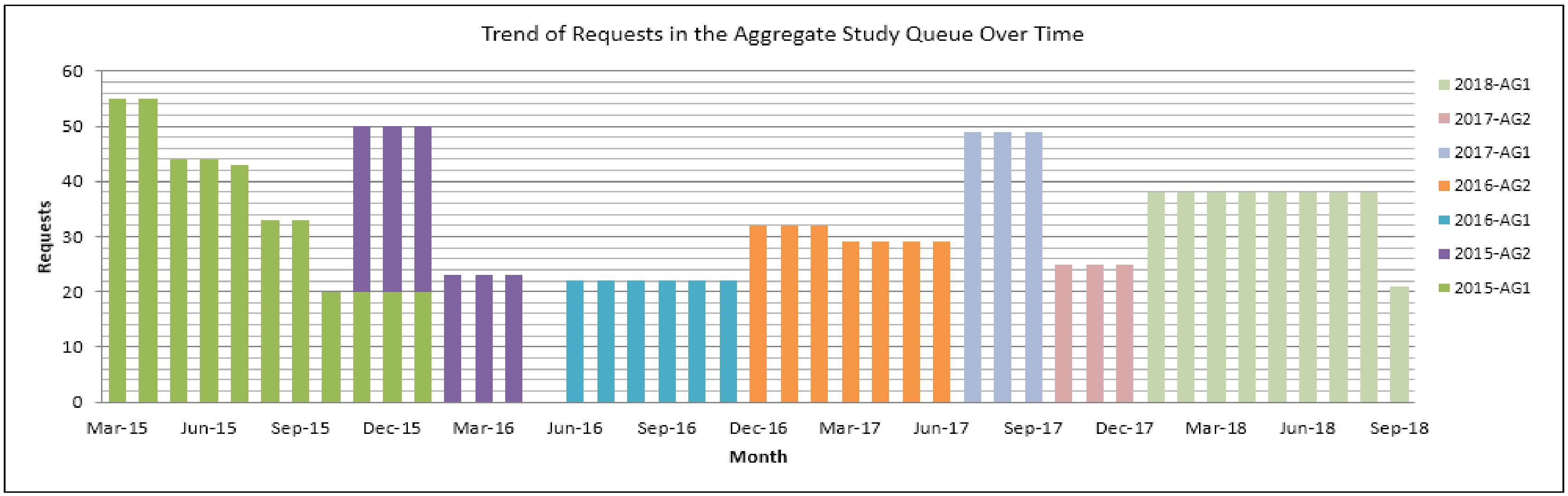
Performance

P.3. Transmission Service Studies

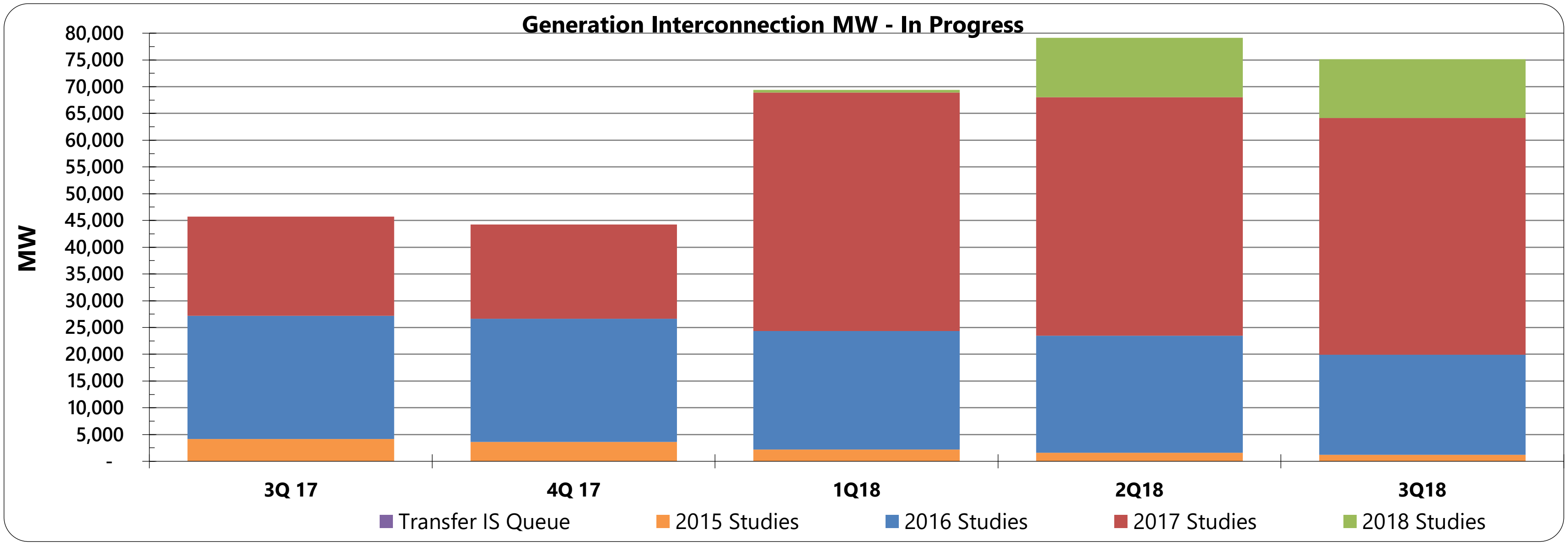
Percentage of Study Postings that Were Made On-Time During the Quarter	100%	80-99%	<80%
Study Type	Current	Previous	
	Q3-2018	Q2-2018	Q1-2018
Aggregate Facilities Studies	●	●	●
Delivery Point Transfer Screening Studies	●	●	●
Long-Term Service Request Screening Studies	●	●	●

SPP must report to the commission when more than 20% of Facilities Studies (not Screening Studies) are late in two consecutive calendar quarters. SPP is subject to penalty if 10% or more are late in the following two calendar quarters after breaking the 20% late threshold.

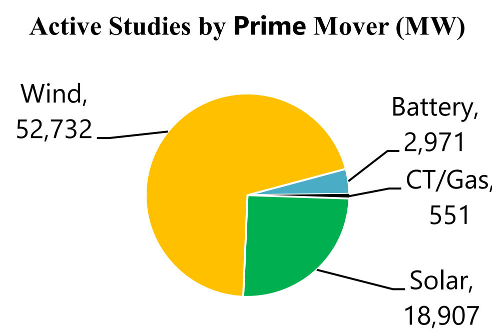




P.4.1. Generation Interconnection Studies

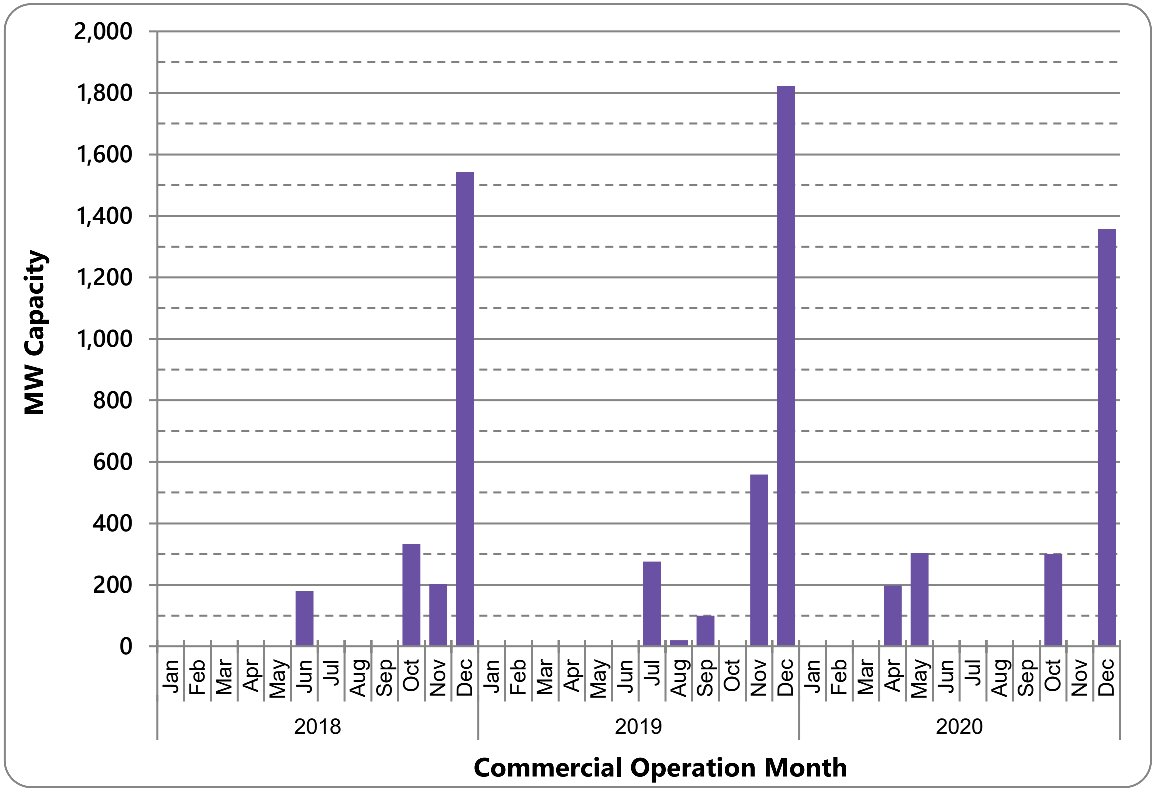


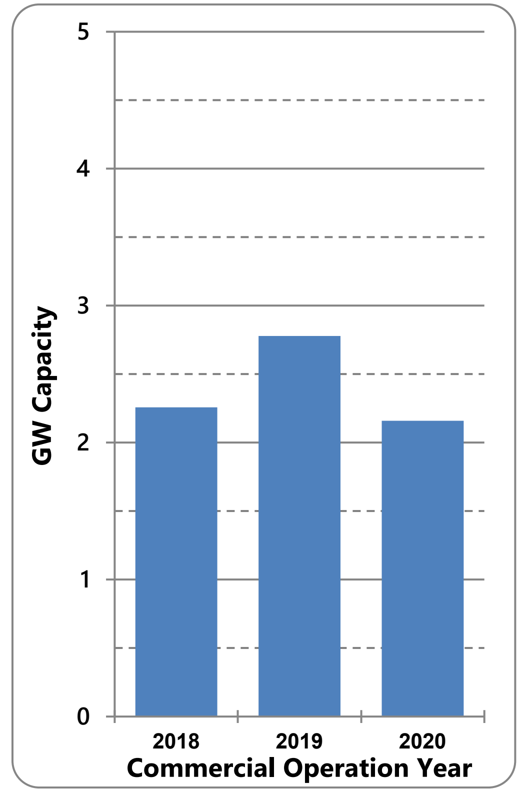
MW					
In Progress	3Q 17	4Q 17	1Q18	2Q18	3Q18
Transfer IS Queue					
DISIS-2015-001	262	262	262		
DISIS-2015-002	3,902	3,352	1,920	1,600	1,186
DISIS-2016-001	7,638	7,638	6,811	6,499	5,614
DISIS-2016-002	15,366	15,374	15,374	15,388	13,126
DISIS-2017-001	14,986	14,963	15,200	15,200	16,398
DISIS-2017-002	543	395	27,480	27,490	27,811
DISIS-2018-001			200	10,105	10,375
PISIS-2017-002	1,534	1,534	1,534	1,534	
FCS-2016-004					
FCS-2017-001					
FCS-2017-002	755				
FCS-2017-003	720	720	320	320	
FCS-2018-001			270	270	
FCS-2018-002				750	650
TOTAL	**45,705**	**44,237**	**69,372**	**79,157**	**75,160**



P.4.2. Commercial Operation Dates

as of Sep 30, 2018

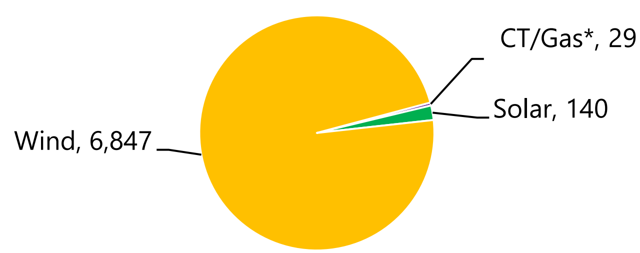




Charts above reflect Executed Generation Interconnection Agreements (GIA's) with upcoming Commercial Operation Date (COD) milestones by year and month. Data based on Queue Status of "IA Fully Executed / On Schedule".

	MW Capacity
IA Fully Executed / On Suspension	951.4
IA Fully Executed / On Schedule	7,015.6
Total Scheduled or Suspended Generation	7,967.0

On Schedule by Prime Mover (MW)



P.5. Strategic Plan

Strategic Plan Progress Metric

	#	Status	Initiative	Staff	Priority	Stakeholders
1. Reliability Assurance	1.1		Integration of Variable Energy	Bruce	A	MOPC (TF)
	1.2		Security Resilience	Barbara, Michael, Tom	A	OC
	1.3		Reliability Excellence	Michael	B	MOPC (RCWG/SPCWG/OTWG)
	1.4		Regional Resource Needs	Michael, Bruce, Paul	A	SPC
2. Optimized Transmission	2.1		ARR/TCR Feasibility	Lanny	A	MOPC
	2.2		Optimization Strategies for the Future	Lanny	B	SPC
	2.3		Value Pricing	Michael/Carl	A	SPC/MOPC
3. Interdependent Systems	3.1		Transmission (Seams)	Carl	A	MOPC (SSC)
	3.2		Optimize Market Efficiencies Along Seams	Carl	A	MOPC (SSC)
	3.3		Optimize Natural Gas Pipeline System Seams	Bruce	B	MOPC (GECTF)
4. Enhance Member Value	4.1		Communication Strategy on Value and Affordability	Mike	A	SPC
	4.2		PMO Best Practice and Rigor	Michael	B	FC/MOPC
	4.3		Strategic Membership Expansion	Michael/Carl/Paul	A	SPC

Performance

P.5.1 Strategic Plan: Variable Energy Resources Initiative Tracking

Integration of Variable Energy

FERC Initiative	GIITF	Generation Interconnection - RM17-8		
	ORWG	Primary Freq. Response - RM16-6-000		
	MWG	Fast Start Resources - EL18-35-000		
		Storage and DER - RM16-23-000 AD-20-000		
Member Initiatives	TWG	High Wind Low Load Scenarios		
		Damping Ratio Requirement		
	ORWG	PMU Siting on New Generation		
	MWG	DVER regulation enhancements	RR253	
		Quick-Start Real-Time Commitment	RR116..	
		RR Stored Energy Resources		
		Multi-Day Unit Commitment		
		ARR/TSR Hedging Alignment		
		Ramp Product		
Staff Enhancements	SAWG	Effective Load Carry Capability		
	ORWG	TSAT Tools		
		Contingency Reserve Enhancement		
		Primary Frequency Policy		
	MWG	NDVER to DVER conversion	RR272	
		Dispatchability Control for VERS	RR288	
		VER Derates Submission		
		Coordinated Transaction Scheduling		

Stage of Development
- Not Started
- NOPR or Working Group
- Filing and/or Revision Request
- Implementation
- Complete

Updated
10/11/18

Metrics Definitions

Transmission and Market Indicators

Two groups of metrics will be monitored to provide an overall health indication of the regional transmission system and market.

- Reliability Performance Indicators, which focus on the actual operations of the transmission system and whether or not it was operated within expected limits and standards.
- Market Performance Indicators, which focus on the performance of the market in terms of overall volume, prices and level of participation.

Reliability Performance Indicators

This sub-group of metrics is designed to measure the operations of the transmission system from a reliability perspective.

- How well-funded are Transmission Congestion Rights (TCR). (see TCR/ARR Summary)
- How much time was congested during the period. (see Congestion)
- Was the system operated in compliance with the relevant control performance standards? (see Regional Control Performance)

M.1.	**TCR/ARR Summary**	**TCR/ARR** funding is derived as follows:
		1. Day-ahead revenue is collected daily
		2. TCR holders are paid daily based on awarded TCR MW and Day-ahead clearing prices
		  a. Uplift is charged daily
		  b. Surpluses are redistributed Monthly and Annually
		3. TCR revenue is collected daily based on TCR MW and TCR ACPs (consistent through month/season)
		4. ARR holders are paid daily based on ARR MW and TCR ACPs (consistent through month/season)
		  a. Uplift is charged daily
		  b. Surpluses are redistributed Monthly and Annually

M.2.	**Congestion**	**M.2.1. TLR / CME Time** TLR Events by level (in hours) • Non-Firm (Level 3) – curtailment of non-firm schedules and non-firm market flow Firm (Level 5) – curtailment of all non-firm and some firm schedules and market flow • CME (Congestion Management Events) where loading is greater than 90% (in hours) **M.2.2. Congested Intervals** • Percent of intervals binding (flow = System Operating Limit [SOL]), breached (flow > SOL) and congested (either binding or breached) during the month. Charts are included for both the Day-Ahead Market (DAMKT) and the Real-Time Balancing Market (RTBM). **M.2.3. Price Contour Map** • Graphic representation of average monthly prices by load area in both the Day-Ahead Market and Real-Time Balancing Market since the start of the Integrated Marketplace. **M.2.4. Congestion – Flowgates** • Congestion by flowgate ranked by average hourly shadow price in the RTBM for the last 12 months. DA values are also included. • Table is included to show top ten most congested flowgates and any potential projects which may provide mitigation to the congestion.

M.3.	**Regional Control Performance**	The SPP BA is not subject to CPS, but is subject to BAAL. CPS is reported here for informational purposes only. Measures the aggregate performance to the NERC CPS (Control Performance Standards) for SPP. This indicator is set based on the NERC real time control performance standards (known as BAL-001 – Real Power Balancing Control Performance and BAL-002 – Disturbance Control Performance). • CPS1 requires compliance for 100% of the periods measured within the month. • BAAL - each Balancing Authority shall operate such that its clock-minute average of reporting ACE does not exceed for more than 30 consecutive clock-minutes its clock-minute Balancing Authority ACE Limit (BAAL)
Market Performance Indicators This sub-group of indicators provides a view of the effectiveness of the market in the context of answering the following questions: • What was the average wholesale price paid in the region and what was its volatility? (see Price) • How much Revenue Neutrality Uplift was generated during the month? (see Uplift) • What was the level of available generation offered to the market and EIS related energy sales in the month? (see Market Liquidity)		
M.4.1. **M.4.2.** **M.4.3.**	**Price**	• Shows the prices and volatility for both the DAMKT and RTBM for each market participant with load within the footprint. Also provides an SPP-wide average price for the period reported. Volatility (measured as the coefficient of variation, which is average divided by the standard deviation) is shown for each market participant as well as SPP as a whole. A higher volatility indicates more variability in prices. • SPP-wide monthly average LMP and the Gas Cost at the Panhandle Eastern Pipeline hub.
M.4.4.	**RT-DA Price Deviation**	• The Absolute Difference is the daily average of the absolute values of the hourly difference between Day-Ahead Market LMPs and Real-Time Market LMPs • The Average Difference is the daily average of the hourly difference between Day-Ahead Market LMPs and Real-Time Market LMPs • The Average LMP %Difference is the Absolute Difference divided by the average Day-Ahead LMP. $Average\ Difference = (\sum_{Day} averageDayAhead\ LMP_{per\ settlementlocation} - averageRealTime\ LMP_{per\ settlementlocation})$ $Absolute\ Difference = (\sum_{Day} \lvert averageDayAhead\ LMP_{per\ settlementlocation} - averageRealTime\ LMP_{per\ settlementlocation} \rvert)$ $Average\ LMP\ \%\ Difference = \frac{Absolute\ Difference}{avg(\sum_{Day} averageDayAhead\ LMP_{per\ settlementlocation})}$
M.5.1.	**Uplift**	Tracks amount of RNU (Revenue Neutrality Uplift) charged or credited to market participants during the month, along with the category of uplift. RNU ensures settlement payments/receipts for each settlement interval equal zero. • Positive RNU - SPP receives insufficient revenue and collects from market participants. • Negative RNU - SPP receives excess revenue, which must be credited back to market participants. Tracks Make Whole Payments (MWP) for both the Day-Ahead Market and the RUC (Real-Time) with payments broken down by Fuel Type of the generation receiving the MWP.

M.5.2.	**MWP Distribution**	• The All-in Price cost of each MW is broken down into different components associated with different product or cost distribution. • The DA MWP and RUC MWP make up the MWP distribution per MWh paid out as component of all-in cost for each MW of energy.
M.6.	**Virtual Activity**	• The Cleared Virtual Profitability is the daily average of the hourly DA LMP minus the hourly averaged RT LMP multiplied by the cleared virtual transactions from DA and all divided by the absolute value of the total cleared virtual transactions from DA. • The Monthly Market Index is the monthly average of the cleared virtual profitability. • Volume of Cleared MWh is the daily average of the total cleared virtual transactions in DA.
M.7.1.	**Excess Capacity**	• Excess Capacity is calculated as the MW capacity remaining (on dispatchable resources) that is not being dispatched for energy or reserved for online operating reserves (Reg Up, Spin, Online Supplemental). This Excess Capacity is calculated for each unit for every hour and that excess capacity is assigned to a "Commitment Source" that represents where the unit's commitment actually came from. Only excess capacity from the hour of the daily peak generation obligation (averaged by month) is considered. The final chart only includes those additional commitment changes made by SPP outside of DAMKT or MP-initiated decisions. • **Excess Capacity** = Effective Max – Dispatch MW – Cleared Reg Up – Cleared Spin – Cleared Online Supplemental
M.7.2.	**Source of Commitment**	• Commitments are determined and separated into 5 different cases SELF, MANUAL, ID_RUC, DA_RUC and DAMKT and are taken from the Current Operating Plan table. • Depending on the process the commitment is made, they are categorized into groups. • For the purpose of the Metrics on the dashboard, the DA_RUC, DAMKT and DBDA commitments are considered DA commitments fulfilling Real-Time obligation.

Financial Metrics		
This group of metrics provides a view of the organization’s overall financial situation in terms of both the operating costs and settlement functions carried out.		
F.1.	**Admin Fee Performance**	Measures actual costs incurred by SPP on an annual basis and compares this to the approved Admin Fee and Budgeted Net Revenue Requirement (NRR).
F.2.	**Credit**	Metric measures the timeliness of the financial settlements for both transmission billing and market billing and provides a proxy for the strength of the organization’s cash flow.
F.3.	**Settlement Disputes**	Measures the number and value of disputes made with regard to the financial settlements of the markets. The objective in this area is twofold: (1) minimize the time to clear disputes; and (2) minimize the total value of dollars in dispute. • The average dispute amount granted in the month. • The number of disputes active at the end of the month, as well as the average days outstanding for those disputes is calculated. In addition, the number of resettlements during the month is tracked.
F.4.	**Human Resources**	Measures turnover rates, as well as the number of position vacancies, for each quarter. • Turnover rates, on a quarterly basis, as well as annualized. • Percentage of positions vacant on a quarterly basis.

Performance Metrics

The metrics in this group focus on NERC Compliance, System Availability, Studies and the Strategic Plan.

P.1.	**SPP RE Compliance**	Measures SPP Regional Entity compliance of all NERC standards. Metrics track the active caseload, as well as new possible violations and the disposition of reported violations.
P.2.1.	**IT System Availability**	Measures availability of SPP IT Systems.
P.2.2.	**Operational System Availability**	• **STLF –** This includes a count of days that the STLF Error has exceeded 1% for more than 2% of the RTBM study intervals. • **DAMKT -** This portion of the graph includes a count of days that the DAMKT posted past the deadline. • **DARUC –** This portion of the graph includes a count of days that DARUC failed to solve within 3 hours and 15 minutes of DAMKT Posting. *Note: This was changed January 2018 due to changes to DAMKT/DARUC timelines.* • **SE/RTLODF -** This portion of the graph shows a count of days that the SE solution failed to solve every 4 seconds. • The metric indicator will be green if the failure counts falls between 0 & 7. The metric indicator will fall in the yellow category if the count falls between 8 & 14.
P.2.3.	**System Availability**	• **MTLF** - Percentage of time that the Mid-Term Load Forecast Error (Actual Load vs MTLF) was within 5% for each of the three previous months as well as from the previous 12 months. *Note: Data is now pulled from the last 12 months instead of from go live. It is a large amount of data and processing time to continue to retrieve some of these metrics back to go live. That information is contained in previous reports.* • **STLF** - Percentage of time the Short-Term Load Forecast error (Actual Load vs STLF) was within 1% for each of the three previous months as well as from the previous 12 months. • **Day Ahead Market** – This portion of the graph shows the percentage of time that the DAMKT posted on time for each of the three previous months as well as from the previous 12 months. • **Intra Day RUC** – This portion of the graph shows the percentage of time that IDRUC studies successfully ran every four hours for each of the three previous months as well from the previous 12 months. • **State Estimator** – This portion of the graph shows the percentage of time that there was a SE solution every four seconds for each of the three previous months as well as from the previous 12 months. • **Real Time Balancing Market** – This portion of the graph shows the percentage of time that RTBM solved and approved successfully every five minutes for each of the three previous months as well as from the previous 12 months.

P.3.	**Transmission Service Studies**	Dashboard showing status of transmission service studies.
P.4.	**Generation Interconnection Studies**	Tracks status of Generation Interconnection Studies by MW, as well as upcoming commercial operation dates for Generation Interconnection Agreements.
P.5.	**Strategic Plan**	Tracks status of Strategic Plan initiatives and assignments.

Southwest Power Pool

Regulatory Update - Activity in Significant Dockets
Third Quarter 2018

SPP Tariff/Governing Document Revisions

Docket Number	Short Description	Summary
ER12-1179	Integrated Marketplace - Order No. 745 Compliance Filing	On July 3, 2018, SPP submitted its compliance filing in response to the order issued on June 5, 2018. An effective date of June 5, 2018 was requested.
ER14-2850 **and** **ER14-2851** **18-1166 (U.S. Court of Appeals)**	Submission of Tariff Revisions to Facilitate the Integration of Western Area Power Administration - Upper Great Plains Region ("Western-UGP"), Basin Electric Power Cooperative ("Basin Electric"), and Heartland Consumers Power District ("Heartland") (collectively the "IS Parties"), which Jointly Own and Operate the Integrated System, into the SPP Regional Transmission Organization ("RTO") Submission of Bylaws and Membership Agreement Revisions Missouri River Energy Services ("MRES") v. Federal Energy Regulatory Commission ("FERC"): Petition for Review of Orders Issued in Docket No. ER14-2850 Regarding Carve-Out Treatment under Grandfathered Agreement 496 ("GFA 496")	On June 18, 2018, MRES filed, before the U.S. Court of Appeals in Case No. 18-1166, a Petition for Review of orders issued by FERC in Docket Nos. ER14-2850 and ER14-2851 regarding the carve-out treatment of GFA 496. On July 13, 2018, SPP filed a Motion to Intervene. On July 19, 2018, MRES filed its Non-Binding Statement of Issues. On August 14, 2018, the court issued an order establishing the following briefing schedule: September 24, 2018 - Petitioner's Brief is due; September 24, 2018 - Intervenor for Petitioner's Brief is due; November 23, 2018 - Respondent's Brief is due; November 30, 2018 - Intervenor for Respondent's Brief is due; December 14, 2018 - Intervenor for Petitioner's Reply Brief is due; December 14, 2018 - Petitioner's Reply Brief is due; January 4, 2019 - Final Briefs are due. On September 24, 2018, MRES filed its Opening Brief.
ER16-1341	Petition of Southwest Power Pool, Inc. for Tariff Waiver Concerning the Crediting Process in Attachment Z2	On July 19, 2018, FERC filed an Unopposed Motion for Voluntary Remand in Case No. 18-1005. FERC requested that the Court grant voluntary remand of this appeal to permit FERC to issue an order that takes into account the Court's Old Dominion decision issued on June 15, 2018.

SPP Tariff/Governing Document Revisions

Docket Number	Short Description	Summary
18-1005 **U.S. Court of Appeals**	Xcel Energy Services Inc. ("Xcel Energy") v. Federal Energy Regulatory Commission ("FERC"): Petition for Review of Orders Issued in Docket No. ER16-1341 Regarding SPP's Petition for Tariff Waiver Concerning the Implementation of the Revenue Crediting Process in Attachment Z2	On July 31, 2018, the U.S. Appeals Court issued an order remanding Case No. 18-1005 to the Commission. Parties are to file briefs by August 31, 2018, on the significance of the decision in Old Dominion Elec. Coop. v. FERC, No. 16-1111, 2018 WL 2993205 (D.C. Cir. 2018). On August 31, 2018, several parties filed Post-Remand Briefs. On August 31, 2018, Old Dominion Electric Cooperative filed a Motion to Intervene Out-of-Time and Statement in Lieu of Brief. On September 17, 2018, SPP filed an Answer in Opposition to Motion to Intervene Out of Time filed by Old Dominion Electric Cooperative. On September 17, 2018, Kansas Electric Power Cooperative, Inc. filed an answer in response to Xcel Energy Services Inc.'s Brief.
ER18-939 **EL16-91**	Submission of Membership Agreement Revisions to Implement Refund Obligations for Non-Public Utility SPP Transmission Owners Consistent with Commission Orders in Docket Nos. EL16-91-000 and EL18-19-000 Section 206 Proceeding to Examine SPP's Open Access Transmission Tariff ("Tariff") and Absence of Refund Commitment for Non-Public Utility Transmission Owners to Refund Revenues that they May Receive Associated with Service Provided due to their Status as Transmission-Owning Regional Transmission Organization ("RTO") Members in the Same Manner Public Utility	Commission action is pending on SPP's compliance filing in Docket No. ER18-939.

SPP Tariff/Governing Document Revisions

Docket Number	Short Description	Summary
	Transmission Owners Could be Required to Provide Refunds of Such Revenues	
EL18-19	Section 206 Proceeding to Examine SPP's Membership Agreement (and Other Jurisdictional Documents) and Absence of Refund Commitment for Non-Public Utility Transmission Owners to Refund Revenues that they May Receive Associated with Service Provided due to their Status as Transmission-Owning RTO Members in the Same Manner Public Utility Transmission Owners Could be Required to Provide Refunds of Such Revenues	
ER18-1078	Submission of Tariff Revisions to Require Phasor Measuring Units at New Generator Interconnections	On August 6, 2018, FERC issued an order rejecting SPP's revisions to Attachment V of the Tariff in order to require Phasor Measuring Units at new generator interconnections.
ER18-1268	Submission of Tariff Revisions to Implement a Set of Resource Adequacy Policies	On August 7, 2018, FERC issued an order accepting SPP's tariff revisions to implement a set of resource adequacy policies for the SPP Balancing Authority Area. An effective date of July 1, 2018 was granted.
ER18-1562	Order No. 842 Compliance Filing	On August 30, 2018, FERC issued an order accepting SPP's revisions to Attachment V of its Tariff in compliance with Order No. 842. An effective date of May 15, 2018 was granted.

SPP Tariff/Governing Document Revisions

Docket Number	Short Description	Summary
ER18-1632	Submission of Tariff Revisions to Implement a Major Maintenance Cost Component to Mitigated Start-Up Offer and Mitigated No-Load Offer	On July 12, 2018, SPP submitted an amendment to the proposed tariff revisions to remove a reference to Section 3.3 from Section 3.5 of Attachment AF. Commission action is pending.
ER18-1854	Submission of Tariff Revisions to Enhance Out-of-Merit Energy ("OOME")	On August 22, 2018, FERC issued an order accepting SPP's revisions to Attachment AE of the Tariff in order to enhance the OOME process. An effective date of May 1, 2019 was granted.
ER18-2009	Submission of Tariff Revisions to Enhance Regulation Deployment of Dispatchable Variable Energy Resources ("DVER")	On August 31, 2018, FERC issued a letter stating that SPP's filing is deficient and additional information is required in order to evaluate the filing. On September 14, 2018, SPP submitted its response to the request for additional information issued on August 31, 2018. Commission action is pending.
ER18-2243 **ER18-2245**	Cost Allocation for Proposed Morgan Transformer Project	On August 17, 2018, SPP submitted revisions to its Open Access Transmission Tariff and its Rate Schedules and Seams Agreement Tariff to propose a new Cost Sharing and Usage Agreement between SPP and Associated Electric Cooperative, Inc. ("AECI") as SPP Rate Schedule FERC No. 15 ("Cost Sharing Agreement"). Specifically, SPP submits for Commission review and acceptance: (1) the Cost Sharing Agreement, which details the terms and conditions between the parties governing the construction, ownership, operation, and cost allocation for the Morgan Transformer Project (a project that SPP and AECI have determined is mutually beneficial); and (2) revisions to SPP's Tariff to establish cost allocation within SPP for SPP's negotiated share of the revenue requirements of the Morgan Transformer Project, by which SPP's share of the costs will be allocated on a Load Ratio Share basis utilizing the Region-wide Charge assessed to all SPP Transmission Customers. An effective date of October 16, 2018 was requested. On August 29, 2018, the Missouri Public Service Commission filed comments in support of SPP's filing. On September 5, 2018, the South Dakota Public Utilities Commission filed comments in support of SPP's filing. On September 7, 2018, Xcel Energy Services Inc. ("Xcel Energy") filed a Motion to Intervene and

SPP Tariff/Governing Document Revisions

Docket Number	Short Description	Summary
		Limited Comments. Xcel Energy stated that it interprets SPP's statements in the filing to confirm that the cost allocation, rate principles, and other details of the filing will not be precedential for any future similar SPP seams cost allocation arrangements, so the Commission can consider the merits of such arrangements on a case-by-case basis. With this understanding, Xcel Energy stated it does not oppose Commission acceptance of the filing at this time. On September 7, 2018, the Missouri Joint Municipal Electric Utility Commission filed a Motion to Intervene and Comments in Support of Filing. On September 28, 2018, the Nebraska Power Review Board submitted a letter in support of SPP's filing. On October 10, 2018, FERC issued an order accepting SPP's revisions to Attachment H and L of the Tariff and the addition of the Cost Sharing Agreement between SPP and AECI to the Rate Schedules and Seams Agreement Tariff, which details the terms and conditions between the parties governing the construction, ownership, operation, and cost allocation for the Morgan Transformer Project. An effective date of October 16, 2018 was granted.
ER18-2318	Submission of Tariff Revisions to Comply with Order No. 844	On August 27, 2018, SPP submitted its compliance filing in response to Order No. 844. An effective date of January 1, 2019 was requested. Several parties filed motions to intervene.
ER18-2376	Revisions to Bylaws to Incorporate a *De Minimis* Investment Methodology	On September 4, 2018, SPP submitted revisions to Sections 3.11 and 4.2.3 of the SPP Bylaws to clarify the concept of a financial interest to allow SPP employees, directors, and their spouses, minor children, and any person for whom they have power of attorney or guardianship rights to invest in companies that have a *de minimis* relationship with SPP and the electric sector. An effective date of November 3, 2018 was requested.
ER18-2382	Submission of Tariff Revisions to Remove References to SPP as Regional Entity	On September 5, 2018, SPP submitted revisions to Attachment AP of the Tariff to remove references to the SPP Regional Entity, which was dissolved on August 31, 2018. An effective date of September 1, 2018 was requested.
ER18-2383	Revisions to Bylaws and Membership Agreement to Remove References to the SPP Regional Entity	On September 5, 2018, SPP submitted revisions to the SPP Bylaws and Membership Agreement to remove all references to the SPP Regional Entity, which was dissolved on August 31, 2018. An effective date of September 1, 2018 was requested.

Other Filings of Interest

Docket Number	Short Description	Summary
ER13-1864	Joint Operating Agreement ("JOA") between SPP and the Midcontinent Independent System Operator, Inc. ("MISO") to Include Market-to-Market ("M2M") Terms and Conditions (SPP Rate Schedule FERC No. 9)	On July 2, 2018, SPP filed its Seventh informational report regarding Interface Bus Pricing and a Day-Ahead Firm Flow Entitlement exchange process concerning market-to-market coordination with MISO. SPP's next informational report is due on January 22, 2019.
EL17-21	Kansas Electric Power Cooperative, Inc.'s ("KEPCo") Complaint Against SPP Concerning Direct Cost Assignment in Connection with the Attachment Z2 Revenue Crediting Process	Commission action is pending on the requests for rehearing of the order issued on November 6, 2017.
EL17-89	American Electric Power Service Corporation ("AEP") Complaint Against the Midcontinent Independent System Operator, Inc. ("MISO") and SPP Concerning Assessment of Duplicative Congestion Charges Associated with Southwestern Electric Power Company ("SWEPCO") Loads that are Pseudo-Tired from MISO to SPP	Commission action is pending on the Complaint.
EL18-9	Xcel Energy Services Inc.'s ("Xcel Energy"), on behalf of Southwestern Public Service Company ("SPS"), Complaint Against SPP Concerning the Attachment Z2 Revenue Crediting Process	Commission action is pending on the rehearing request of the order issued on March 6, 2018.
EL18-26	EDF Renewable Energy, Inc.'s ("EDF") Complaint Against the Midcontinent Independent	Commission action is pending on the Complaint.

Other Filings of Interest

Docket Number	Short Description	Summary
	System Operator, Inc. (“MISO”), Southwest Power Pool, Inc. (“SPP”), and PJM Interconnection, L.L.C. (“PJM”) (collectively, the “RTOs”) Regarding Affected System Coordination	
EL18-35	Order Instituting Section 206 Proceeding and Commencing Paper Hearing Procedures Regarding Pricing of Quick-Start Resources	Parties filed initial briefs on February 12, 2018. Reply briefs were filed on March 14, 2018. Commission action is pending.
EL18-194	Nebraska Public Power District ("NPPD") Complaint Against Tri-State Generation and Transmission Association, Inc. ("Tri-State") and Southwest Power Pool, Inc. ("SPP") Concerning Inclusion of Costs in Tri-State's Annual Transmission Revenue Requirement ("ATRR") for Facilities Not Physically Connected to the SPP Transmission System	On August 21, 2018, NPPD filed a Complaint against Tri-State and SPP requesting that the Commission find that the inclusion of certain costs in Tri-State's ATRR cause the rates for transmission service under SPP's Tariff to be unjust and reasonable. These costs include: 1) Account 565 payments for transmission by others under two Grandfathered Agreements listed in Attachment W of SPP's Tariff that relate solely to service provided to Tri-State's own load and provide no benefits to other SPP customers; and 2) costs related to Tri-State facilities that are not physically connected to the SPP Transmission System and which cannot be used by any SPP customer. NPPD also requested the Commission to find unjust and unreasonable Tri-State's failure to include Schedule 1 Point-to-Point revenue as a credit to its Schedule 1 Revenue Requirements for Network Service. On September 17, 2018, SPP filed a Motion to Dismiss and Alternative Answer to Complaint. SPP stated that it has no role in establishing Tri-State's ATRR, is not a beneficiary of any resultant cost recovery, and the Complaint's allegations do not focus on SPP actions or omissions. On September 17, 2018, Tri-State filed an answer to the Complaint.
ES18-33	Application of Southwest Power Pool, Inc. ("SPP") Under Section 204 of the Federal Power Act for an Order Authorizing the Issuance of Securities	On July 10, 2018, FERC issued an order approving SPP’s application.

State Cases

Docket Number	Short Description	Summary
Kansas **17-SPPE-117-GIE**	In the Matter of a General Investigation for the Purpose of Investigating Whether Annual or Periodic Cost/Benefit Reporting by the SPP and Kansas Electric Utilities that Participate in SPP is in the Public Interest	On December 22, 2017, the Staff of the Commission filed its Report and Recommendation. Staff recommended that the Commission order SPP to provide Kansas-specific data and, to the extent possible, utility-specific data for all reports and studies conducted by SPP now and in the future related to the costs and benefits of participation in SPP. Commission action is pending.
New Mexico **17-00261-UT**	In the Matter of a Commission Investigation into the Feasibility of Public Service Company of New Mexico ("PNM") becoming a Member of the Southwest Power Pool	On July 31, 2018, PNM filed its Status Report. PNM stated it has completed its review and concluded that joining the Western Energy Imbalance Market is the best option for its customers.
New Mexico **18-00044-UT**	In the Matter of Lea County Electric Cooperative, Inc.'s ("LCEC") Petition for Approval to Extend Authority to Participate in the Southwest Power Pool	On July 10, 2018, the Commission issued an Order Provisionally Vacating Hearing. On July 12, 2018, the Commission issued an Order Vacating Hearing and Admitting Evidence. The hearing scheduled for July 17, 2018 was vacated. The Petition and testimony were admitted into evidence. On August 24, 2018, the Hearing Examiner issued the Recommended Decision, recommending that LCEC be authorized to continue its membership and participation in SPP on a permanent basis. On September 12, 2018, the Commission issued an Order Adopting Recommended Decision.
Texas **46901**	Joint Petition of Southwestern Public Service Company ("SPS") and Southwest Power Pool, Inc. ("SPP") for Declaratory Order Seeking Declaration as to Whether SPP May Designate Entities Other Than the Incumbent Texas Utility to Construct and Own Regionally-Funded Transmission Facilities Located in Texas but Providing Service Outside the Electric Reliability Council of Texas	On November 20, 2017, Entergy Texas, Inc., SPS, and Texas Industrial Energy Consumer filed motions for rehearing of the order issued on October 26, 2017. The parties also filed petitions for judicial review of the order before the District Court of Travis County, Texas. A hearing was held on August 13, 2018 before the District Court of Travis County, Texas.

State Cases

Docket Number	Short Description	Summary
-- **United States District Court for the Northern District of Texas, Amarillo Division 2:17-CV-00043-J** -- **181 District Court in and for Potter County, Texas 106111-B**	("ERCOT") -------------------------------------- Southwestern Public Service Company ("SPS"), Plaintiff vs. Southwest Power Pool, Inc. ("SPP"), Defendant -------------------------------------- Southwestern Public Service Company ("SPS"), Plaintiff vs. Southwest Power Pool, Inc. ("SPP"), Defendant	
Texas 47898	Petition of East Texas Electric Cooperative, Inc. ("ETEC") to Transfer 35 MW of Load to the Electric Reliability Council of Texas, Inc. ("ERCOT")	On June 14, 2018, the Commission issued Order No. 9, Granting Joint Motion and Abating Procedural Schedule. ETEC and Commission staff continue to file monthly status reports regarding this case.
Texas 48400	Joint Application of Rayburn Country Electric Cooperative, Inc. ("Rayburn") and Lone Star Transmission, LLC ("Lone Star") to Transfer Load to the Electric Reliability Council of Texas, Inc. ("ERCOT"), and for Sale of Transmission Facilities and Transfer of Certificate Rights in Henderson and Van Zandt Counties, Texas	On August 28, 2018, Antoine Lucas and Charles Locke filed Direct Testimony on behalf of SPP. On August 18, 2018, Intervenors filed Direct Testimony. On September 11, 2018, Commission Staff filed Direct Testimony. On September 25, 2018, Rayburn and Lone Star filed Rebuttal Testimony. On September 25, 2018, Intervenors filed Cross Rebuttal Testimony. On September 27, 2018, Rayburn filed a Motion to Abate Procedural Schedule. On October 1, 2018, the Administrative Law Judge issued Order No. 6, Canceling Hearing, Granting Joint Motion, Abating Proceeding, and Requiring Filing. The hearing on the merits scheduled for October 16-17, 2018 was cancelled, and the deadlines established by Order No. 3 were suspended. On or before October 15, 2018, the parties must file an update regarding the status of the settlement.

Regulatory Outlook

State of Texas 48400	Parties to file an update regarding the status of the settlement (Order No. 6 issued on October 1, 2018)	10/15/2018
FERC AD16-24	Technical Conference begins at 2 PM Eastern Time to hear from the Regional Transmission Organizations and Independent System Operators on their efforts for ensuring reliable and economic system performance during the 2018-2019 winter season (Notice of Technical Conference issued on September 10, 2018)	10/18/2018
State of Texas 47898	East Texas Electric Cooperative, Inc. and Commission Staff are to file a report regarding the status of this case or other appropriate pleading (Order No. 11, Granting Request and Establishing Deadline issued on September 14, 2018)	10/19/2018
FERC ER18-99	Intervenor Answering Testimony is due (Order Establishing Procedural Schedule issued on August 30, 2018)	10/25/2018
FERC RM05-5	Comments due in response to Notice of Proposed Rulemaking proposing to remove the incorporation by reference of the Wholesale Electric Quadrant WEQ-006 Time Error Correction Business Practice Standards as adopted by the North American Energy Standards Board (NAESB) in its WEQ Version 003.0 Business Practice Standards (Notice of Proposed Rulemaking issued on October 4, 2018)	11/13/2018
United States Court of Appeals 18-1166	Respondent's Brief is due (Order issued on August 14, 2018)	11/23/2018
FERC EL18-58	Settlement Conference begins at 10 AM Eastern Time (Order Scheduling Settlement Conference issued on October 3, 2018)	11/27/2018
United States Court of Appeals 18-1166	Intervenor for Respondent's Brief is due (Order issued on August 14, 2018)	11/30/2018
FERC RM16-23	Compliance filing is due to revise the tariff to establish a participation model consisting of market rules that facilitate electric storage resources' participation in the market (Order No. 841 issued on February 15, 2018)	12/03/2018

SPP Southwest Power Pool

Regulatory Outlook

FERC ER18-99	Trial Staff Testimony is due (Order Establishing Procedural Schedule issued on August 30, 2018)	12/03/2018
FERC ER08-1338	SPP to file its Annual Budget in FERC Docket Nos. ER04-48, ER08-1338, RT04-1	12/14/2018
United States Court of Appeals 18-1166	Petitioner's Reply Brief is due (Order issued on August 14, 2018)	12/14/2018
United States Court of Appeals 18-1166	Intervenor for Petitioner's Reply Brief is due (Order issued on August 14, 2018)	12/14/2018
FERC ER15-2377	Informational Report due to explain SPP's ongoing efforts to further improve gas-electric coordination, including efforts to improve solve times. The report should also identify whether any natural gas fired generators within SPP experienced any operational challenges related to gas-electric coordination issues, and identify what actions SPP undertook to mitigate such events (Order Accepting Compliance Filing issued on December 17, 2015)	12/17/2018
United States Court of Appeals 18-1166	Deferred Appendix is due (Order issued on August 14, 2018)	12/21/2018
FERC ER18-99	Cross-Answering Testimony is due (Order Establishing Procedural Schedule issued on August 30, 2018)	12/28/2018
United States Court of Appeals 18-1166	Final Briefs are due (Order issued on August 14, 2018)	01/04/2019
FERC ER13-1864	SPP's Eighth Informational Report due detailing SPP’s and MISO’s progress on resolving issues related to their implementation methodologies for Interface Bus Pricing, and analyzing whether the benefits of implementation of a day-ahead firm flow entitlement exchange process outweigh its costs, until such issues are resolved (Order Conditionally Accepting in Part and Rejecting in Part Revisions to Joint Operating Agreement issued on January 22, 2015)	01/22/2019

SPP Southwest Power Pool

Regulatory Outlook

FERC ER18-99	Rebuttal Testimony of SPP and GridLiance are due (Order Establishing Procedural Schedule issued on August 30, 2018)	01/30/2019
FERC ER18-99	Deadline for Final Discovery Requests (Order Establishing Procedural Schedule issued on August 30, 2018)	02/05/2019
FERC ER05-652	File Informational Report on SPP Aggregate Study (Safe Harbor Report) (April 22, 2005 Order)	02/15/2019
FERC ER18-99	Deadline for parties to answer all outstanding discovery requests and last day for depositions (Order Establishing Procedural Schedule issued on August 30, 2018)	02/20/2019
FERC ER18-99	Joint Statement of Positions on the Issues, Joint Witness List, and Index of Exhibits (Order Establishing Procedural Schedule issued on August 30, 2018)	02/22/2019
FERC ER18-99	Pre-Hearing Briefs are due (Order Establishing Procedural Schedule issued on August 30, 2018)	02/26/2019
FERC ER18-99	Hearing Commences (Order Establishing Procedural Schedule issued on August 30, 2018)	03/05/2019
FERC ER18-99	Joint Exhibit List and Transcript and Corrections are due seven days after hearing ends (Order Establishing Procedural Schedule issued on August 30, 2018)	03/12/2019

Date	Event	Location
7/10/2018 – 7/13/2018	Meetings with Members of Congress and their staffs	Washington, DC
9/20/2019 – 9/23/2018	Participated in the Energy Council Annual Meeting	Oklahoma City, OK
9/25/2018 – 9/26/2018	Meetings with Members of Congress and their staffs and SPP Annual Government Affairs Conference	Washington, DC