

# Information Document

## Changes Related to Implementation of Fair, Efficient and Open Competition Regulation

### ID #2010-004R



Information Documents are not authoritative. Information Documents are for information purposes only and are intended to provide guidance. In the event of any discrepancy between an Information Document and any Authoritative Document(s) in effect, the Authoritative Document(s) governs.

## 1 Purpose

This Information Document relates to the following Authoritative Documents<sup>1</sup>:

- Section 201.2 of the ISO rules, *Appointment of an Agent* (“Section 201.2”);
- Section 201.3 of the ISO rules, *Offer Control Information* (“Section 201.3”);
- Section 306.3 of the ISO rules, *Load Planned Outage Reporting*;
- Section 306.4 of the ISO rules, *Transmission Planned Outage Reporting and Coordination* (“Section 306.4”); and
- Section 306.5 of the ISO rules, *Generation Outage Reporting and Coordination* (“Section 306.5”).

The purpose of this Information Document is to help market participants understand those Authoritative Documents and to provide clarity on how the AESO has implemented incidental process and administrative changes deemed necessary as a result of the *Fair, Efficient and Open Competition Regulation* (the “FEOC Regulation”).

This information document is likely of most interest to pool participants that appoint an agent, to pool participants that submit bids and offers, and to market participants that utilize the outage records the AESO publishes.

## 2 Background

The FEOC Regulation was released by the Alberta Department of Energy on June 18, 2009, and came into force on September 1, 2009.

## 3 Implementation of Specific Rule Changes and Procedures

### 3.1 Regulation Section 3 – Preferential Sharing of Records That Are Not Available to the Public

Section 201.2 of the ISO rules identifies the requirements for the AESO’s approval of certain information sharing relationships between pool participants and their respective agents. The AESO functions as the administrator of agency appointments whereby a pool participant may appoint an agent to represent the pool participant in dealings with the AESO. The [Agency Appointment Request Form](#) is located on the AESO website.

Section 3(2) of the FEOC Regulation allows for certain exemptions from the prohibition against the sharing of “records that are not available to the public relating to any past, current or future price and quantity offer made to the power pool or for the provision of ancillary services.”

One of the exemptions for the sharing of records between market participants is where a market participant appoints an agent to trade, among other things, electric energy on their behalf. This agency relationship is recognized once an AESO *Agency Appointment Request Form* is submitted, which the AESO approved prior to September 1, 2009. If a pool participant wishes to appoint an agent to act on its behalf in dealings with the AESO and such relationship is otherwise prohibited by section 3 of the FEOC Regulation, then the pool participant needs to

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<sup>1</sup> “Authoritative Documents” is the general name given by the AESO to categories of documents made by the AESO under the authority of the *Electric Utilities Act* and regulations, and that contain binding legal requirements for either market participants or the AESO, or both. AESO Authoritative Documents include: the ISO rules, the Alberta reliability standards, and the ISO tariff.

obtain an order from the Alberta Utilities Commission under section 3(3) of the FEOC Regulation before the AESO approves of such relationship.

Market participants are reminded that, as set out in Section 201.2 of the ISO rules, “the ISO must not approve the appointment of an agent if the subject matter of the agency extends, in whole or in part, to the preferential sharing of records in violation of or noncompliance with the provisions of subsection 3(1) of the *Fair, Efficient and Open Competition Regulation*, unless there is an exception to the prohibition against the sharing of records, as specified in section 3(2) of that Regulation.” In accordance with the *Electric Utilities Act* section 21.1, “...if the Independent System Operator suspects that a market participant has contravened an ISO rule, the Independent System Operator, must refer the matter to the Market Surveillance Administrator.”

### 3.2 Regulation Section 4 – Restrictions on Trading Using Outage Records That Are Not Available to the Public

Section 4 of the FEOC Regulation prohibits trading on outage information. Section 4 reads, “[A] market participant shall not, directly or indirectly, use outage records to trade unless permitted to do so under this section”. However, in order to facilitate market participants’ ability to properly trade using information contained in the outage records, subsection 4(2) imposes an obligation on market participants to provide outage records to the AESO that are used to comply with subsection 4(3): to populate and publish certain outage records, as described more fully below. Under the FEOC Regulation, the AESO is responsible for the administrative and management responsibilities for outage report information gathering and publication.

Accordingly, when the AESO publishes these reports, it further is required under section 4(3) to “...include the effective date and time of the most recent outage records received from market participants...” The following provides additional detail on how the AESO fulfills these obligations as required by the FEOC Regulation:

#### (a) Generating Unit Fuel Type

The AESO publishes outage information on the AESO website in the form of a “*Daily Outage Report*” and a “*Monthly Outage Report*”, (the “Generator Outage Reports”) both aggregated by fuel type. The reports are time and date stamped in accordance with the above mentioned obligations imposed by the FEOC Regulation.

Section 306.5 of the ISO rules requires market participants to “by the (1<sup>st</sup>) day of every month subsequent to the date of commissioning, submit scheduled generator outages that are planned to occur at any time within the next twenty four (24) months after that day...”. Under subsection 4(6) of the FEOC Regulation, the AESO exempts a market participant from providing outage schedule for planned outages that are scheduled to occur at a time the beyond the next twenty-four (24) months. As such, market participants are not required to submit any information in addition to that which is required under Section 306.5 of the ISO rules. The Generator Outage Reports are populated based solely on outage volume (MW) submitted to the AESO by pool participants and do not reflect any other information related to an offer such as minimum stable generation or an acceptable operational reason.

Note that the AESO is currently assessing whether there are circumstances in which outage records beyond twenty four (24) months may be material. Depending on the outcome of this assessment, the AESO may implement a process for market participants to provide an outage schedule for planned outages beyond twenty four (24) months for publication by the AESO.

#### (b) Transmission Facility

The AESO publishes two (2) reports addressing outages to transmission equipment, *Long Term Long Term Significant Transmission Outages* and *System Coordination Plan* -

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*Approved Outages.* These include a time and date stamp in accordance with the requirements of the FEOC Regulation.

The current requirement for the AESO to publish these two (2) reports is addressed in Section 306.4 of the ISO rules. Market participants are not required to submit any additional information pursuant to the FEOC Regulation.

The AESO also publishes the *AIES Event Log* report to communicate unplanned transmission outages the AESO has assessed and are determined to have a material impact to system reliability and/or have a material impact on available generation. This report is updated with unplanned transmission outage information as soon as reasonably practical upon the AESO receiving such information from market participants.

#### (c) Electric Distribution System

The AESO does not currently collect and publish information regarding outages on the electric distribution system. The AESO does not see a need for any changes at this time, and has granted an exemption under subsection 4(6) of the FEOC Regulation to market participants from providing such outage records.

#### (d) Market Participant Capability to Consume Electric Energy

Section 306.2 of the ISO rules, *Load Planned Outage Reporting* sets out the obligation for a market participant to provide information to the AESO relating to a decrease in its capability to consume load. The information collected from market participants is used to produce the *Load Outage Report*. In preparing the *Load Outage Report*, the AESO aggregates load outage records, and determines daily load outages in MW as:

the sum of MWh of all submitted outages by time period

divided by

the number of hours in the time period.

Specifically, a market participant with a planned decrease in its capability to consume load of forty (40) MW or greater, is required to provide load outage records to the AESO. The AESO has provided an exemption under subsection 4(6) of the FEOC Regulation to market participants who do not meet the forty (40) MW threshold.

The AESO prepares a daily load outage report on each business day and posts it daily on the AESO website including:

- (i) time and date the report was prepared; and
- (ii) daily average MW load outage, rounded to the nearest MW, for each day of the current month and the next three (3) months.

All market participants that meet the above noted criteria are required to provide the following load outage records to the AESO in the form and manner provided for at [load.outage@aesO.ca](mailto:load.outage@aesO.ca):

- (iii) start date/start time;
- (iv) end date/end time; and
- (v) decrease in the capability to consume (MW) equal to forty (40) MW or greater.

The *Load Outage Report Form* is posted on the AESO website:

### 3.3 Regulation Section 6 – ISO matters

#### (a) Merit Order Snapshots

Under section 6 of the FEOC Regulation, the AESO is required to “make available to the public the price, quantity and asset identification associated with each offer made to the power pool that is available for dispatch” on a 60-day delayed basis. As a result, three (3) historical reports ([Merit Order Snapshot-Energy](#), [Merit Order Snapshot-Ancillary Service](#) and [Merit Order Snapshot Report-DDS](#)) are published on the AESO's website. Market participants are not required to submit any additional information pursuant to the FEOC Regulation.

The above reports are snapshots of the System Controller Dispatch Tool taken at the mid-point of the settlement interval. The reports are published sixty (60) days after the date of the snapshot and capture twenty-four (24) snapshots representing the prior twenty-four (24) hour period.

Please see attached Appendix 1 for examples of the three (3) reports.

#### (b) Offer Control Reporting

Subsection 6(2)(a) of the FEOC Regulation requires the AESO to “develop information technology systems capable of identifying and tracking the market participant that holds the offer control associated with each price and quantity offer made to the power pool”. To facilitate this requirement, ISO rule Section 201.3, *Offer Control Information* requires pool participants to provide the identity of offer control parties to the AESO. Pool participants are encouraged to refer to the [ETS Manuals](#) for “Submission” and “Ancillary service restatements and substitutions” for further information on the IT related changes and the impacts to pool participants.

## 5 Appendices

### Appendix 1 – Merit Order Snapshot Reports

#### Revision History

Effective Date	Description of Changes
2017-06-22	Update to section 3.2(a).
2016-09-28	Administrative amendments
2014-07-15	Updated to revise references to ISO Authoritative Documents and related changes.
2012-12-04	Updated to reflect the implementation of ISO Rules Section 201.3 and related IT changes and general clarification updates.
2012-07-19	Updated to include proposed new ISO Rules Section 201.3
2012-04-28	Update of AESO Implementation Details
2009-08-31	Update of AESO Implementation Details
2009-08-07	Initial Release

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#### Appendix 1 – Merit Order Snapshot Reports

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Version: prod 7\_2\_0\_10

Reports

Select Report: --- Merit Order Snapshot - Energy | Select Format: html | Begin Date: 10/01/2012 | End Date: 10/01/2012

Current | Historical | Trading Page | Supply Forecast

#### Energy Merit Order Snapshot Report

Date	HE	Import/Export	Asset Id	Block Number	Price	From	To	Size	Available MW	Dispatched?	Dispatched MW	Flexible?	Offer Control	Snapshot Date/Time
10/01/2012	01		BRA	6	999.99	250	300	50	0	N	0	Y		10/01/2012 00:30
10/01/2012	01	E	SPXA	0	999.99	0	89	89	89	Y	89	Y		10/01/2012 00:30
10/01/2012	01	E	ESXS	0	999.99	0	150	150	150	Y	150	Y		10/01/2012 00:30
10/01/2012	01	E	PEXS	0	999.99	0	800	800	800	Y	800	Y		10/01/2012 00:30
10/01/2012	01	E	SPX7	0	999.99	0	800	800	800	Y	800	Y		10/01/2012 00:30
10/01/2012	01	E	PEXB	0	999.99	0	800	800	800	Y	800	Y		10/01/2012 00:30
10/01/2012	01		ENC1	6	999.00	40	48	8	8	N	0	Y		10/01/2012 00:30
10/01/2012	01	E	ESDX	0	999.00	200	300	100	100	N	100	Y		10/01/2012 00:30
10/01/2012	01		BOW1	6	990.00	240	303	63	0	N	0	Y		10/01/2012 00:30
10/01/2012	01		ENC1	2	969.00	25	40	15	15	N	0	Y		10/01/2012 00:30
10/01/2012	01		ENC1	1	968.00	0	25	25	25	N	0	Y		10/01/2012 00:30
10/01/2012	01		KH2	6	967.00	358	387	29	29	N	0	Y		10/01/2012 00:30
10/01/2012	01		CMH1	6	904.00	200	210	10	0	N	0	Y		10/01/2012 00:30
10/01/2012	01		BOW1	5	898.00	239	240	1	0	N	0	Y		10/01/2012 00:30
10/01/2012	01		BOW1	4	890.00	235	239	4	0	N	0	Y		10/01/2012 00:30
10/01/2012	01		BIG	6	890.00	111	120	9	0	N	0	Y		10/01/2012 00:30
10/01/2012	01		CMH1	5	890.00	167	200	33	28	N	0	Y		10/01/2012 00:30
10/01/2012	01		CAL1	6	820.00	230	300	70	70	Y	8	N		10/01/2012 00:30
10/01/2012	01		CAL1	5	810.00	200	230	30	30	Y	30	Y		10/01/2012 00:30
10/01/2012	01		CAL1	4	800.00	170	200	30	30	Y	30	Y		10/01/2012 00:30
10/01/2012	01	E	ESDX	1	799.99	150	200	50	50	N	50	Y		10/01/2012 00:30
10/01/2012	01		CAL1	3	790.00	135	170	35	35	Y	35	Y		10/01/2012 00:30
10/01/2012	01		CMH1	4	789.00	123	167	44	44	N	0	Y		10/01/2012 00:30
10/01/2012	01		CAL1	2	750.00	115	135	20	20	Y	20	Y		10/01/2012 00:30
10/01/2012	01		CAL1	1	700.00	0	115	115	115	Y	115	N		10/01/2012 00:30
10/01/2012	01		BOW1	3	679.00	234	235	1	0	N	0	Y		10/01/2012 00:30
10/01/2012	01		CMH1	3	678.00	39	123	84	84	N	0	Y		10/01/2012 00:30
10/01/2012	01		BOW1	2	678.00	56	234	178	98	N	0	Y		10/01/2012 00:30

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Reports Version: prod 7\_2\_0\_10

Select Report: --- Offer Control - Operating Reserve  
 Select: Format: html Begin Date: 10/01/2012 End Date:   OK

Current  
 Historical  
 Trading Page  
 Supply Forecast

### Operating Reserve - Offer Control Report

Date	HE	Commodity	Product	Asset ID	Volume (MW)	Price (\$/MW)	Premium Price (\$/MW)	Activation Price (\$/MW)	Offer Control
10/01/2012	01	ACTIVE	RR	ALS1	5	10.00	0.00	0.00	
10/01/2012	01	ACTIVE	RR	ALS1	5	10.00	0.00	0.00	
10/01/2012	01	ACTIVE	RR	ALS1	10	10.00	0.00	0.00	
10/01/2012	01	ACTIVE	RR	APS1	8	10.00	0.00	0.00	
10/01/2012	01	ACTIVE	RR	APS1	10	10.00	0.00	0.00	
10/01/2012	01	ACTIVE	RR	BIG	70	10.00	0.00	0.00	
10/01/2012	01	ACTIVE	RR	EC01	5	10.00	0.00	0.00	
10/01/2012	01	ACTIVE	RR	EC01	5	10.00	0.00	0.00	
10/01/2012	01	ACTIVE	RR	MKR1	12	10.00	0.00	0.00	
10/01/2012	01	ACTIVE	RR	NX01	5	10.00	0.00	0.00	
10/01/2012	01	STANDBY	RR	EC01	11	0.00	16.11	34.37	
10/01/2012	01	STANDBY	RR	NX01	5	0.00	6.75	29.50	
10/01/2012	01	STANDBY	RR	NX01	5	0.00	12.75	33.00	
10/01/2012	01	STANDBY	RR	SH2	78	0.00	8.00	40.00	
10/01/2012	01	ACTIVE	SR	ALS1	5	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	ALS1	5	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	ALS1	5	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	APS1	20	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	BIG	30	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	BOW1	30	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	BR3	5	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	CMH1	5	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	CMH1	5	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	CMH1	10	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	CMH1	20	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	EC01	5	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	GN2	10	1.02	0.00	0.00	
10/01/2012	01	ACTIVE	SR	GN2	10	1.02	0.00	0.00	

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