



# **Clean of Red Tape Administrative Amendments to the ISO Rules**

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## **Division 101 – Interpretation**

Division 101 Interpretation

## **Division 103 – Administration**

Section 103.1 Confidentiality  
Section 103.2 Dispute Resolution  
Section 103.3 Financial Security Requirements  
Section 103.5 Net Settlement Instruction  
Section 103.6 ISO Fees and Charges  
Section 103.7 Financial Default and Remedies  
Section 103.12 Compliance Monitoring  
Section 103.14 Waivers and Variances

## **Division 201 – General**

Section 201.1 Pool Participant Registration  
Section 201.2 Appointment of Agent  
Section 201.3 Offer Control Information  
Section 201.4 Submission Methods and Coordination of Submissions  
Section 201.5 Block Allocation  
Section 201.6 Pricing  
Section 201.7 Dispatches  
Section 201.9 Requirements for a Generating Unit Subject to a Power Purchase Agreement

## **Division 202 – Dispatching the Markets**

Section 202.4 Managing Long Lead Time Assets  
Section 202.7 Markets Suspension or Limited Markets Operations

## **Division 203 – Energy Market**

Section 203.2 Issuing Dispatches for Energy  
Section 203.4 Delivery Requirements for Energy  
Section 203.6 Available Transfer Capability and Transfer Path Management

## **Division 204 – Dispatch Down Service Market**

- Section 204.1 Offers for Dispatch Down Service
- Section 204.2 Issuing Dispatches for Dispatch Down Service
- Section 204.3 Dispatch Down Service Restatements

## **Division 205 – Ancillary Services Market**

- Section 205.1 Offers for Operating Reserve
- Section 205.3 Restatements for Operating Reserve

## **Division 304 – Routine Operations**

- Section 304.2 Electric Motor Start Requirements
- Section 304.6 Unplanned Transmission Facility Limit Changes
- Section 304.9 Wind and Solar Aggregated Generating Facility Forecasting

## **Division 305 – Contingency Emergency**

- Section 305.1 Energy Emergency Alerts
- Section 305.4 System Security

## **Division 504 – Legal Owners of Transmission Facilities and Load Facilities**

- Section 504.5 Service Proposals and Cost Estimating

## **Division 507 – Intertie Facilities**

- Section 507.1 Open Access Requirements for Proposed Interties

#### Applicability

- 1 The **ISO rules** are binding on:
  - (a) **market participants**; and
  - (b) the **ISO**.

#### Requirements

#### Interpretation

- 2 In the **ISO rules**:
  - (a) nothing in any way restricts or limits the powers, duties, and responsibilities of the **ISO** as set out in legislation;
  - (b) defined terms are in bold type, but otherwise, tables of contents, section headers, and the use of underlining, bolding and italicizing are not a part of the interpretation of the **ISO rules** and are inserted for convenience of reference only;
  - (c) words in the singular include the plural and words in the plural include the singular;
  - (d) words importing male persons include female persons, words importing female persons include male persons, and words importing either sex include corporations;
  - (e) the provisions of the **ISO rules** are to be construed as always speaking and applied to circumstances as they arise;
  - (f) “may” is to be construed as permissive and empowering, and “must”, “shall” and “will” are to be construed as imperative;
  - (g) all references to a time of **day** in the **ISO rules** mean mountain standard or mountain daylight time in the Province of Alberta, whichever is in effect on the **day** in question;
  - (h) words and phrases in bold type have the meanings given to them in the definitions found in the Part 1 of the **ISO rules**;
  - (i) any schedule, table or appendix attached to an **ISO rule** forms a part of the **ISO rule** and are to be interpreted accordingly; and
  - (j) titles of documents are in italics.
- 3 Any **ISO** or **market participant** dispute concerning the application, interpretation or enforceability of any **ISO rule** is within the exclusive jurisdiction of the **Commission** or Courts of the Province of Alberta, as applicable, and any related legal proceedings must be commenced, heard and adjudicated within the applicable Alberta forum.

# ISO Rules

## Part 100 General

### Division 101 Interpretation



#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2009-12-15	Supersedes October 1, 2009 Version

### Applicability

- 1 Section 103.1 applies to:
  - (a) a **market participant**, except where the **market participant** is the **legal owner** of a **transmission facility** where the **person** who is eligible to apply for the construction and operation of the **transmission facility** was determined by a competitive process developed by the **ISO** in accordance with the **Act**; and
  - (b) the **ISO**.

### Requirements

#### Confidential Records

**2(1)** The **ISO** must treat any record that the **ISO** receives from a **market participant** which:

- (a) is not in the public domain; or
- (b) in the opinion of the **ISO** is commercially sensitive;

as confidential, unless it is a record which fits into one of the exception categories set out in subsection 2(6).

**(2)** The **ISO** must treat as confidential any record described in subsection 2(1)(a) that identifies the **market participant's** name or any of its facilities, unless the **ISO** gives the **market participant** written notice that such information will not be treated as confidential.

**(3)** If the **ISO** gives written notice as set out in subsection 2(2) above, the **market participant** has **7 business days** from the date such notice is given to provide reasons to the **ISO** why the record should be treated as confidential, and the **ISO** will consider those reasons before making a final determination regarding the treatment of the record.

**(4)** Any record that a **market participant** receives from the **ISO** that is not in the public domain must be treated by the **market participant** as confidential, unless it is a record which fits into one of the exception categories set out in subsection 2(6).

**(5)** The **ISO** may, notwithstanding subsection 2(1), disclose a confidential record in order to fulfill its duties and responsibilities under the **Act** or other legislation, and in making such a disclosure will make reasonable efforts to ensure that a **person** receiving that confidential record does not further disclose the record.

**(6)** A record will not be treated as confidential to the extent it:

- (a) must be disclosed, used or reproduced by law or by a lawful requirement of any government or governmental body, authority or agency having jurisdiction over the **ISO**, a **market participant** or their **affiliates**;
- (b) is disclosed, used or reproduced:
  - (i) under the authority of the **ISO rules**, the **ISO tariff** or the **reliability standards**;
  - (ii) with the consent of the provider; or
  - (iii) as an unidentifiable component when aggregated or otherwise consolidated with another record; or

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.1 Confidentiality



(c) is disclosed to protect the safety of personnel or equipment, or to protect or enhance the **reliability** of the **interconnected electric system**.

(7) The **ISO** and a **market participant** may share a confidential record with their respective representatives but only if those representatives are aware of the confidential nature of the record and agree to treat it as confidential.

#### Disclosure to Market Surveillance Administrator

3 In accordance with section 2(1) of the *Market Surveillance Regulation*, the **Market Surveillance Administrator** has the right to receive and the **ISO** will make available to the **Market Surveillance Administrator** confidential and other records relating to a **market participant** that are held or become available to the **ISO** pursuant to its mandate under the **Act**.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2016-11-29	Revisions to the Applicability section
	Supersedes October 1, 2009 Version

### Applicability

- 1 Section 103.2 applies to:
  - (a) a **market participant**, except where the **market participant** is:
    - (i) the **legal owner** of a **transmission facility** where the **person** that is eligible to apply for the construction and operation of the **transmission facility** was determined by a competitive process the **ISO** developed in accordance with the **Act**; or
    - (ii) the **legal owner** of a **generating unit** or an **aggregated generating unit** that is subject to a renewable electricity support agreement in connection with rounds 1, 2 or 3 of the Renewable Electricity Program in respect of a dispute that is subject to the terms of such renewable electricity support agreement; and
  - (b) the **ISO**.

### Requirements

#### Informal Dispute Resolution

- 2(1)** The first step a **market participant** must take to resolve a dispute with the **ISO** is to make reasonable efforts to informally resolve the dispute with the appropriate representative of the **ISO**.
- (2)** A **market participant** may call the **ISO** main reception telephone number posted on the AESO website if the **market participant** is unsure of the appropriate representative of the **ISO** to contact about the dispute it.

#### Submission of a Written Dispute

- 3(1)** A **market participant** may proceed to the second step of the dispute resolution process and submit a written dispute to the **ISO** if it does not receive a satisfactory or timely resolution to its informal dispute resolution efforts.
- (2)** The subject matter for a written dispute may include a concern about:
  - (a) an **ISO rule**, **reliability standard** or **ISO tariff** provision;
  - (b) the **ISO's** interpretation or application of an **ISO rule**, **reliability standard** or **ISO tariff** provision;
  - (c) an **ISO** board decision relating to the **ISO's** budget review process; or
  - (d) the operation and conduct of the **ISO** in carrying out its duties and responsibilities under the **Act** or other legislation where a **market participant** is concerned about:
    - (i) specific and measurable error by the **ISO**;
    - (ii) the **ISO** not having considered complete information in reaching a determination; or
    - (iii) an element of unfairness in the process used by the **ISO** in reaching a determination.
- (3)** A written dispute must:
  - (a) include the full legal name of the **market participant** directly affected by the matter and the contact information the **market participant** will use for receipt of all notices and communications;
  - (b) include the nature and basis of the dispute, a proposed solution to the dispute and any other material previously submitted to or received from the **ISO**;



- (c) be signed by an officer of the **market participant** if it is a corporation, one of its partners if a partnership, or by the **market participant** personally if an individual **person**;
- (d) be submitted to the **ISO** at its head office, attention “ISO General Counsel”; and
- (e) be submitted to the **ISO** within 30 **business days** of an **ISO** board decision, if the dispute is regarding a decision concerning the **ISO**’s budget review process.

#### Acknowledgement of Receipt

**4** The **ISO** general counsel must respond to the **market participant** in writing within 10 **business days** of receiving the written dispute, acknowledging receipt of the written dispute and identifying the **ISO** vice president accountable for handling the dispute.

#### Review of a Written Dispute

**5(1)** The **ISO** board must, in the case of a written dispute related to the budget review process, and within 30 **business days** of the **ISO** general counsel issuing the acknowledgment of receipt, review the dispute and notify the **market participant** in writing of its decision regarding the matter in dispute.

**(2)** The **ISO** vice president accountable for the dispute must, in the case of all other written disputes, and within 30 **business days** of the **ISO** issuing the acknowledgment of receipt, review the dispute and notify the **market participant** in writing of the **ISO** decision, including reasons, regarding the matter in dispute.

**(3)** The **market participant** may if a written dispute is not resolved to the **market participant**’s satisfaction:

- (a) agree with the **ISO** to seek resolution through a mediation or arbitration process; or
- (b) pursue any other remedies available to it under the law, including filing a complaint with the **Commission** or **Market Surveillance Administrator**, or commencing a court action.

#### Assumption of Resolution

**6(1)** The **ISO** may close the dispute file if a **market participant** does not object to the **ISO**’s written decision regarding a dispute within 30 **business days** of the delivery of the written decision.

**(2)** The file closing does not prevent the **market participant** or the **ISO** from initiating discussions regarding the matter in the future.

#### No Delay

**7** The initiation of a dispute resolution process under this Section 103.2 will not entitle a **market participant** to withhold or delay payment of any amounts due and owing to the **ISO**, nor will it stay the implementation of an **ISO** determination pending resolution of the dispute.

#### Record Retention

**8** Each of the **market participant** and the **ISO** must create and maintain their own records in relation to a dispute.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2020-09-16	Revised the Applicability section to create exception 1(a)(ii).

ISO Rules  
Part 100 General  
Division 103 Administration  
Section 103.2 Dispute Resolution



	Administrative amendments.
2016-11-29	Revised the Applicability section to create exception 1(a)(i).
2010-01-05	Supersedes October 1, 2009 Version

### Applicability

- 1 Section 103.3 applies to:
  - (a) a **market participant** with any **financial obligation** to the **ISO**, except where the **market participant** is the **legal owner** of a **transmission facility** where the **person** that is eligible to apply for the construction and operation of the **transmission facility** was determined by a competitive process developed by the **ISO** in accordance with the **Act**; and
  - (b) the **ISO**.

### Requirements

#### Provision of Financial Security

**2(1)** A **market participant** must provide to the **ISO**, or cause its guarantor to provide to the **ISO**, **financial security** equal to or greater than the total dollar amount of all **financial obligations** of the **market participant**, minus any unsecured credit limit granted to the **market participant** as determined in accordance with subsection 5.

**(2)** A **market participant** must ensure all **financial security** provided or caused to be provided to the **ISO** in accordance with this section 103.3, remains in force and in effect for so long as the **market participant** has any outstanding **financial obligations** to the **ISO**.

#### Determination of Financial Obligations Total Amounts

**3(1)** The **ISO** must calculate the total dollar amount of all **financial obligations** of a **market participant** to the **ISO**, including:

- (a) subject to subsection 3(2) if the **market participant** is a **pool participant**, a dollar amount based upon a determination by the **ISO** of:
  - the energy the **pool participant** consumes for any 2 consecutive **settlement periods**, adjusted for any updated information and estimates
  - minus
  - the energy the **pool participant** purchases from another **pool participant** through any **net settlement instructions** during any 2 consecutive **settlement periods**
  - minus
  - the energy the **pool participant** produces during any 2 consecutive **settlement periods**
  - plus
  - the energy the **pool participant** sells to another **pool participant** through any **net settlement instructions** during any 2 consecutive **settlement periods**multiplied by  
a **pool price** the **ISO** estimates;
- (b) if the **market participant** is receiving **system access service**, or if the **market participant** has applied for but not yet received **system access service** under any rate in the **ISO tariff**, a dollar amount equal to the estimate of the **ISO** of the charges for 2 **settlement periods**;
- (c) if the **market participant** is required to provide **financial security** as counterparty to a *Construction Commitment Agreement* for a connection project under the **ISO tariff**, a dollar amount equal to the **financial security** as required under any such *Construction Commitment Agreement*;



- (d) if a **market participant** is required to provide security as a counterparty to one or more agreements for **ancillary services** with the **ISO**, a dollar amount equal to the **financial security** as required under any such **ancillary services** agreements; and
- (e) any other dollar amounts the **ISO** reasonably determines in respect of the requirement for **financial security** for any other services the **ISO** provides to the **market participant**.

(2) A **market participant** must provide to the **ISO** an estimate of the net energy that it will consume for 2 consecutive **settlement periods** using the **months** with the highest level of energy consumption, as a part of its application, if the **market participant** referred to in subsection 3(1)(a) is registering as a **pool participant** under Section 201.1 of the **ISO rules**, *Pool Participant Registration*.

(3) The **ISO** may deny an application or terminate any service the **ISO** provides to a **market participant**, if the **market participant** materially misrepresents the estimate of net energy to be consumed in subsection 3(2).

(4) The **ISO** may, for the purposes of calculating the **financial obligations** of a **market participant** to the **ISO** under subsection 3(1), establish a minimum amount that will be deemed to apply if the **financial obligations** calculated under subsection 3(1) otherwise fall below such minimum amount.

**Unsecured Credit**

4 A **market participant** may request that the **ISO** grant to the **market participant** an unsecured credit limit in accordance with subsection 5.

**Unsecured Credit Limit for Rated Entities**

5(1) The **ISO** may:

- (a) grant an unsecured credit limit in an amount referred to in subsection 5(3) based on the long-term unsecured credit rating of the **market participant** or its guarantor from an acceptable credit rating agency, as determined by the **ISO**; or
- (b) where the **ISO** has previously granted an unsecured credit limit based on a long-term unsecured proxy credit rating, grant twice the amount of such previous unsecured credit limit based on the long-term unsecured proxy credit rating of the **market participant** or its guarantor that the **ISO** issued prior to the effective date of this Section 103.3, which the **ISO** may, from time to time, revise or withdraw in accordance with the former provisions of this Section 103.3 that were in effect prior to the effective date of this Section 103.3.

(2) The **ISO** must establish the unsecured credit limit for the **market participant** based on the lowest credit rating, if the **market participant** or its guarantor has more than 1 credit rating in accordance with subsection 5(1)(a).

(3) The **ISO** may grant an unsecured credit limit to the **market participant** up to the maximum amount specified in the second column of the following Table 1, based on the long term unsecured credit rating for the **market participant** or its guarantor specified in the first column of Table 1, if a **market participant** or its guarantor has a credit rating from an acceptable credit rating agency.

**Table 1**  
**Subsection 5 Unsecured Credit Limit**

Credit Rating	Unsecured Credit Limit
AA+/AAA	\$50,000,000
AA	\$45,000,000
AA-	\$40,000,000

A+	\$35,000,000
A	\$30,000,000
A-	\$25,000,000
BBB+	\$20,000,000
BBB	\$15,000,000
BBB-	\$10,000,000
<BBB-	\$0

(4) The **ISO** may not grant an unsecured credit limit to a **market participant**, its guarantor, or any company that is an affiliate of either the **market participant** or its guarantor if the **ISO** has already granted an unsecured credit limit to any of the **market participant**, its guarantor, or an affiliate of either of them.

(5) The **ISO** may, notwithstanding subsection 5(4), allocate the previously granted unsecured credit limit of a **market participant**, its guarantor, or any company that is an affiliate of either of them amongst those companies in a manner the **ISO** determines but which may not exceed the previously granted unsecured credit limit.

#### Acceptable Forms of Financial Security

6(1) A **market participant** must provide **financial security** to the **ISO** in the following form:

- (a) a letter of credit issued from a Canadian chartered bank, or other acceptable and comparable financial institution, with at least an A minus rating from an acceptable credit rating agency, as determined by the **ISO**, and include provisions to the effect that it is an unconditional and irrevocable standby letter of credit, payable on demand with the **ISO** as beneficiary, and that is otherwise in form and substance satisfactory to the **ISO**;
- (b) a cash collateral deposit together with a cash collateral agreement that is in form and substance satisfactory to the **ISO**; or
- (c) a parent guarantee from an entity that qualifies for an unsecured rating under subsection 5, and that is in form and substance satisfactory to the **ISO**.

(2) The **ISO** may accept or reject a letter of credit, cash collateral agreement, or parent guarantee, referred to in subsection 6(1).

(3) A **market participant** may request that the **ISO** approve an alternative form of **financial security** to those specified under subsection 6(1).

(4) The **ISO** may accept or reject the alternative form of **financial security** requested in subsection 6(3).

(5) A **market participant** must ensure that the **ISO** is able to register its security interest in any cash collateral deposit the **market participant** provides as a first security interest under the *Personal Property Security Act* or other similar legislation.

(6) A **market participant** must provide the **ISO** with registerable written waivers or postponements in favour of the **ISO** provided by all third parties who have a registerable security interest in priority to the security interest the **ISO** may register, if requested by the **ISO**.

(7) The **ISO** may, at any time after initially approving the creditworthiness of a guarantor of the **market participant** and the maximum dollar amount under any approved form of guarantee, reassess and reduce that creditworthiness regardless of the credit rating of the guarantor.

(8) The **ISO** must notify the **market participant** and its guarantor, in writing, of the reduced creditworthiness following a reassessment and reduction made pursuant to subsection 6(7).

(9) The **market participant** must provide the **ISO** with additional or replacement **financial security**, which the **ISO** must receive no later than the close of business on the 2<sup>nd</sup> **business day** following the delivery of the notice from the **ISO**, in accordance with subsection 6(8).

The **ISO** may extend such deadline for the delivery of additional or replacement **financial security** as the **ISO** may determine.

### ISO Review and Reassessment of Financial Security Adequacy

7(1) The **ISO** may, from time to time, review and reassess any **financial security**, unsecured credit limits, **financial information** and standing, creditworthiness and credit rating, and generally the ability of a **market participant** and its guarantor to meet the **financial obligations** of the **market participant** and other performance obligations to the **ISO**.

(2) The **ISO** may by written notice reduce any unsecured credit limit of the **market participant** or demand that the **market participant** provide replacement or additional **financial security**, upon completion of a review and reassessment.

(3) The **ISO** may demand, in writing, replacement or additional **financial security** from a **market participant** in a dollar amount sufficient to provide security for the calculated difference, if at any one time:

the total dollar amount of all **financial obligations** of the **market participant** calculated under subsection 3

exceeds

any unsecured credit limit granted to the **market participant** under subsection 5, plus the **financial security** the **market participant** or its guarantor provides to the **ISO** pursuant to subsection 2.

(4) A **market participant** must deliver the replacement or additional **financial security**, calculated in subsection 7(3), to the **ISO** no later than the close of business on the 2<sup>nd</sup> **business day** after the **business day** upon which the **ISO** issued its demand for such replacement or additional **financial security**.

The **ISO** may extend such deadline for the delivery of additional or replacement **financial security** as the **ISO** may determine.

(5) A **market participant** may request in writing that the **ISO** reduce the **financial security** required from and provided by the **market participant** to the **ISO**.

(6) The **ISO** may reduce the **financial security** of the **market participant**, upon receipt of a request made pursuant to subsection 7(5), if after review and reassessment the **ISO** determines that:

(a) any unsecured credit limit granted to the **market participant** plus the **financial security** the **market participant** provides exceeds all **financial obligations** of the **market participant** for 2 **settlement periods** as the **ISO** estimates; or

(b) the credit rating of the **market participant** or its guarantor, as the case may be, determined in accordance with subsection 5 has been upgraded.

### Financial Information and Material Adverse Changes

8(1) A **market participant** must provide, or cause its guarantor to provide, the **ISO** with any **financial information** the **ISO** requests, following a request by the **ISO** for such **financial information**.

(2) A **market participant** must give notice in writing to the **ISO**, or cause its guarantor to give notice in writing to the **ISO**, if the **market participant** or its guarantor experiences a **material adverse change**, or

is aware of a likely **material adverse change** occurring, no later than the close of business on the 2<sup>nd</sup> **business day** after the **day** the **market participant** or its guarantor experiences, or becomes aware, of the likely occurrence of the **material adverse change**.

(3) The **ISO** must determine the impact of the **material adverse change** on any unsecured credit limit of the **market participant** and the overall creditworthiness of the **market participant** or its guarantor, upon receiving notice pursuant to subsection 8(1) or otherwise becoming aware of the **material adverse change** or that the **material adverse change** is likely to occur.

(4) The **ISO** may, after determining the impact of the **material adverse change**:

- (a) make a written demand on the **market participant** specifying the dollar amount and form of replacement or additional **financial security**, if the **ISO** determines that replacement or additional **financial security** is required; or
- (b) if the **ISO** determines that the **market participant** or its guarantor is, or is likely to become, insolvent or unable to pay its debts as they mature:
  - (i) exercise its rights to terminate or suspend the **market participant** in accordance with subsection 7 of Section 103.7 of the **ISO rules**, *Financial Default and Remedies*; or
  - (ii) make a written demand on the **market participant** that the **market participant** remit payment in advance to the **ISO** prior to incurring any **financial obligations** in accordance with such terms and conditions as determined by the **ISO**, without limiting any of the other rights or remedies of the **ISO** including the right to terminate or suspend the **market participant**.

(5) The **market participant** must deliver to the **ISO** any specified replacement or additional, **financial security** or prepayment, as applicable, demanded in accordance with subsection 8(4) no later than the close of business on the 2<sup>nd</sup> **business day** after the **business day** upon which the **ISO** delivered the demand.

The **ISO** may extend such deadline for the delivery of additional or replacement **financial security** as the **ISO** may determine.

### Costs and Expenses Related to Financial Security

9 All costs and expenses of a **market participant** associated with the implementation of any **financial security** and any related obligations of the **market participant** under this Section 103.3 are the responsibility and to the sole account of that **market participant** and the **market participant** must pay the **ISO** for any such costs and expenses incurred by the **ISO**.

### ISO Recourse to Section 103.7 *Financial Default and Remedies*

11 The failure of a **market participant** to comply with its obligations to provide **financial security** under this Section 103.3, or to keep the **financial security** in force and effect, is deemed to be a default event which will allow the **ISO** to have recourse to the rights and remedies of the **ISO** under Section 103.7 of the **ISO rules**, *Financial Default and Remedies*.

### Discretionary Rights

12(1) All rights, powers, and remedies granted to the **ISO** under this Section 103.3 are for the sole benefit and protection of the **ISO** and the **ISO** may exercise any such right, power, or remedy at its option and in its sole and absolute discretion.

(2) The **ISO** may, if it is given 2 or more alternative courses of action, elect any alternative or combination of alternatives, at its option and in its sole and absolute discretion.

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.3 Financial Security Requirements



#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2022-01-04	Revisions to include minimum level of financial security, increase unsecured credit limits, remove the process for assigning proxy credit ratings, clarify the forms of financial security, include rights to request financial information and clarify the rights of the ISO in the event of a material adverse change, include right for ISO to extend deadlines for the delivery of additional or replacement security, and other administrative revisions.
2016-11-29	Revisions to the Applicability section
2011-07-01	Initial Release



# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.5 Net Settlement Instruction



#### Applicability

- 1 Section 103.5 applies to:
- (a) a **pool participant**; and
  - (b) the **ISO**.

#### Requirements

##### Net Settlement Instruction

2 The **ISO** must net out the **net settlement instruction** volumes against **metered energy** volumes when calculating any **power pool** settlement for **pool participants**, if 2 **pool participant** counterparties enter into a form of bilateral agreement, one acting as a buyer and the other acting as a seller, and complete all of the requirements under this Section 103.5 for electronically registering a **net settlement instruction** with the **ISO**.

##### Electronic Registration of Net Settlement Instruction

3(1) A **pool participant** may electronically register a **net settlement instruction** through the Energy Trading System if the following criteria are satisfied:

- (a) the counterparties to the **net settlement instruction** are registered and have digital certificates under Section 201.1 of the **ISO rules**, *Pool Participant Registration*;
- (b) the initiating **pool participant** electronically submits the **net settlement instruction** to the **ISO** through the Energy Trading System not less than 20 minutes before the beginning of the **settlement interval** in which the **net settlement instruction** is to take effect;
- (c) the **source asset** and **sink asset** are metered **pool assets**, or either the **source asset** or the **sink asset** is a metered **pool asset**;
- (d) the submitted **net settlement instruction** information includes:
  - (i) the name of the **net settlement instruction**;
  - (ii) the name of the **pool participant** as seller;
  - (iii) the **source asset** the seller designates;
  - (iv) the name of the **pool participant** as buyer;
  - (v) the **sink asset** the buyer designates;
  - (vi) the MWh volume or percentage output of the **net settlement instruction**;
  - (vii) the commencement date and **settlement interval** of the **net settlement instruction**;
  - and
  - (viii) the expiry date and **settlement interval** of the **net settlement instruction**; and
- (e) the **pool participant** counterparty accepts the **net settlement instruction** through the Energy Trading System not less than 20 minutes before the beginning of the **settlement interval** in which the **net settlement instruction** is to take effect.

(2) The **ISO** may, subject to subsection 6, reject the electronic registration or de-registration of a **net settlement instruction** if it does not satisfy the criteria under this Section 103.5 for electronic registration or de-registration .

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.5 Net Settlement Instruction



#### Request for De-registration of a Net Settlement Instruction

**4(1)** Either of the **pool participant** counterparties may request to de-register the **net settlement instruction** in subsection 3(1) by delivering a written request to the **ISO** which:

- (a) the **ISO** receives:
  - (i) no less than 3 **business days** prior to the requested date for de-registration, if the **pool participant** counterparties currently have adequate **financial security** in place for their **financial obligations** post de-registration, or
  - (ii) no less than 15 **business days** prior to the requested date for de-registration, if the **pool participant** counterparties currently do not have adequate **financial security** in place for their **financial obligations** post de-registration; and
- (b) includes the following information:
  - (i) a statement that the **net settlement instruction** is to be de-registered;
  - (ii) the **net settlement instruction** registration number;
  - (iii) the name of the **pool participant** as seller;
  - (iv) the designated **source asset**;
  - (v) the name of the **pool participant** as buyer;
  - (vi) the designated **sink asset**; and
  - (vii) the desired effective date and **settlement interval** for which the de-registration is to take effect.

**(2)** The **ISO** must de-register any **net settlement instruction** that is the subject of the request, on the effective date specified in the request, if

the **ISO** receives a request that complies with the requirements of subsection 4(1).

**(3)** A **pool participant** must register a new **net settlement instruction** replacing the one requested for de-registration if the initiating **pool participant** submits a new **net settlement instruction** in accordance with this Section 103.5 and the non-initiating counterparty, through the Energy Trading System, accepts the new **net settlement instruction**.

**(4)** The **ISO** must notify the non-requesting **pool participant** counterparty, no later than the close of business on the 1<sup>st</sup> **business day** after receiving the de-registration request under subsection 4(1), that the **net settlement instruction** is being de-registered in accordance with this subsection 4.

#### Mandatory De-registration of a Net Settlement Instruction

**5(1)** A **pool participant** must provide notice to the **ISO** to de-register a **net settlement instruction** if there is:

- (a) a change in the registered **pool participant** for any **pool asset** that is the subject of the **net settlement instruction**; or
- (b) a voluntary termination of the registration of the **pool participant** under subsection 9 of Section 201.1 of the **ISO rules**, *Pool Participant Registration*.

**(2)** The **pool participant** must provide notice to the **ISO** of the de-registration of the **net settlement instruction** at least 3 **business days** in advance of an event referred to in subsection 5(1).

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.5 Net Settlement Instruction



#### ISO Initiated De-registration

**6** The **ISO** may, in addition to the right to suspend any **net settlement instruction** under Section 103.7 of the **ISO rules**, *Financial Default and Remedies*, de-register one or more **net settlement instructions** if:

- (a) the **ISO** suspends or terminates the registration of the **pool participant** in accordance with subsection 8 of Section 201.1 of the **ISO rules**, *Pool Participant Registration*;
- (b) a **pool participant** voluntarily terminates its registration in accordance with subsection 9 of Section 201.1 of the **ISO rules**, *Pool Participant Registration*; or
- (c) a **pool participant** fails to de-register the **net settlement instruction** as required under subsection 5.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2022-05-07	Updated subsection 4(2) to require the delivery of financial security before cancelling a net settlement instruction and the ISO's satisfaction of no adverse effects. Other minor updates to align with AESO drafting principles.
2011-07-01	Initial release

# ISO Rules

## Part 100 General

### Division 103, Administration

#### Section 103.6 ISO Fees and Charges



#### Applicability

- 1 Section 103.6 applies to:
  - (a) a **market participant**;
  - (b) a **pool participant**;
  - (c) a load settlement agent; and
  - (d) the **ISO**.

#### Requirements

#### Schedule of ISO Fees

- 2 The **ISO** must publish the *Schedule of ISO Fees* on the AESO website.

#### Fee for Records Requests

**3(1)** A **market participant** may make a request to the **ISO** for a copy of any records of the **market participant** which may be in the **ISO**'s possession.

**(2)** A **market participant** must pay a fee for any request for records made in accordance with subsection 3(1).

#### Fee for a Digital Certificate

**4** A **pool participant** must pay an annual fee to obtain a digital certificate that enables the **pool participant** to access the Energy Trading System.

#### Energy Market Trading Charge Payment

**5(1)** The **ISO** must calculate, on or before January of each calendar year, an energy market trading charge, as follows:

the energy market related cost and expenses for the **ISO** and the **Commission**, and the costs and expenses of the **Market Surveillance Administrator**;

divided by

the total estimated number of MWhs of energy forecast to be traded in the **power pool** in the calendar year.

**(2)** The **ISO** may, notwithstanding the timing requirements in subsection 5(1), amend the energy market trading charge during the calendar year.

**(3)** The **ISO** must notify **market participants** of any amendments pursuant to subsection 5(2) no less than **30 days** in advance of the amended energy market trading charge coming into effect.

**(4)** A **pool participant** must pay the **ISO** the energy market trading charge for each MWh of energy the **pool participant** purchases or sells through the **power pool** in a **settlement period**, that is equal to:

the energy market trading charge calculated under subsection 5(1)

multiplied by

the total MWh of energy for the hour for each **pool asset** of the **pool participant**, which is the greater of:

- (a) the **metered energy** the **pool participant** exchanged through the **power pool** for a **settlement period**; and

- (b) the volumes of any registered **net settlement instructions** of the **pool participant**.

#### Charge for Energy from a Long Lead Time Asset Net Costs

**6(1)** A **pool participant** must pay to the **ISO** a pro rata charge to recover any **incremental generation costs**, net of energy receipts revenue paid by the **ISO** in accordance with subsection 5 of Section 103.4 of the **ISO rules**, *Power Pool Financial Settlement*, if:

- (a) the **ISO** must pay any **pool participant** for energy from a **long lead time asset** in accordance with subsection 5 of Section 103.4 of the **ISO rules**, *Power Pool Financial Settlement*; and
- (b) the **pool participant** has energy consumption during the applicable **settlement interval**.

**(2)** The **ISO** must, for any **settlement interval** where the energy from a **long lead time asset** was actually required, or was forecasted but not actually required, calculate an **incremental generation costs** pro rata charge for every **pool participant** with energy consumption during the **settlement interval**, as follows:

the net **incremental generation costs** amount paid in accordance with subsection 5 of Section 103.4 of the **ISO rules**, *Power Pool Financial Settlement*, to the **pool participant** issued the **directive** for energy from a **long lead time asset**;

divided by

the total energy consumption of every **pool participant** during the **settlement interval** where the energy from a **long lead time asset** was actually required or was forecasted to be required.

#### Pool Participant Payment Default Charge

**7(1)** The **ISO** may, if the **ISO** does not receive full payment of any outstanding **financial obligation** amount owed by a **pool participant** by the close of business on the tenth **business day** following the date the **financial obligation** was due, then after realizing on any **financial security** of the **pool participant**, calculate a payment default charge as follows:

the outstanding **financial obligation** amount, net of any realized **financial security** amounts, of the defaulting **pool participant** for the applicable **settlement period**

divided by

the total amount of energy exchanged through the **power pool** by all **pool participants** during the applicable **settlement period**

**(2)** The **ISO** must allocate the payment default charge to all **pool participants** on a pro rata basis to each MWh of energy that **pool participants** exchanged through the **power pool** during the **settlement period** for which the **ISO** did not receive full **financial obligation** payment from the defaulting **pool participant**, as outlined in subsection 7(1).

**(3)** The **ISO** must include the payment default charge as a payment obligation for the **pool participants** referred to in subsection 7(2) in the next **power pool** statement the **ISO** publishes following the calculation and allocation of the payment default charge under this subsection 7.

**(4)** The **ISO** must apply the payment default charge amounts the **ISO** receives from the **pool participants** to settle any outstanding **financial obligation** amount that remains owing from the defaulting **pool participant**.

**(5)** The **ISO** must credit and refund that recovered amount on a pro rata basis to the **pool participants** that paid the **ISO** as referenced under subsection 7(4), if the **ISO** has received payment default charge amounts from **pool participants** under subsection 7(4) and the **ISO** is successful in recovering any outstanding **financial obligation** amount from the defaulting **pool participant** referred to in subsection 7(1).

# ISO Rules

## Part 100 General

### Division 103, Administration

#### Section 103.6 ISO Fees and Charges



(6) The **ISO** must credit the recovered amount to the applicable **pool participants** as a line item in the next successive final **power pool** statement of those **pool participants** after the date the **ISO** recovers that amount, but the pro rata recovered amount credited and paid to a **pool participant** must not exceed the pro rata amount the **pool participant** originally paid.

(7) The calculation, allocation and payment of payment default charges under this subsection 7 does not release, discharge, limit or otherwise affect any outstanding **financial obligations** of the defaulting **pool participant**, and is in addition to any other legal or equitable remedies available to the **ISO** under Section 103.7 of the **ISO rules**, *Financial Default and Remedies*.

#### Recovery of Load Settlement Costs

8 A load settlement agent must pay as a **financial obligation** to the **ISO**, the amount the **ISO** invoices to recover the **ISO**'s costs for administering provincial load settlement, which amount is based on the load settlement agent's percentage share of the aggregate annual load volumes.

#### ISO Recourse to Section 103.7 *Financial Default and Remedies*

9 The failure of a **pool participant** to pay any fees or charges dollar amount under this Section 103.6 is deemed to be a **financial obligation** default event which will allow the **ISO** to have recourse to the rights and remedies of the **ISO** under Section 103.7 of the **ISO rules**, *Financial Default and Remedies*.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2021-09-14	Updates to the Applicability section Removed subsection 3 in its entirety Administrative amendments
2018-09-03	Amended subsection 6(3) to allow for the trading charge to be amended throughout the year, if appropriate.
2015-12-07	Updated header of subsection 3 to refer to "pool participation fee".
2013-01-08	"long lead time energy" changed to "energy from a <b>long lead time asset</b> " Updated to refer to subsection 5 of section 103.4 of the <b>ISO rules</b> , <i>Power Pool Financial Settlement</i> .
2011-07-01	Initial Release

### Applicability

1 Section 103.7 applies to:

- (a) a **market participant** with any **financial obligation** to the **ISO**, except where the **market participant** is the **legal owner** of a **transmission facility** where the **person** that is eligible to apply for the construction and operation of the **transmission facility** was determined by a competitive process developed by the **ISO** in accordance with the **Act**; and
- (b) the **ISO**.

### Requirements

#### Interest Charge

**2(1)** The **market participant** must, if it fails to pay in full any **financial obligation** to the **ISO** on or before a specified due date for that **financial obligation**, pay an amount of interest on the outstanding balance calculated in accordance with subsection 2(2), commencing from the due date and up to and including the **business day** the **ISO** receives payment.

**(2)** The **ISO** must, subject to subsection 2(3), calculate interest at the Bank of Montreal Canadian prime rate plus 6%.

**(3)** The **ISO** must, if it determines under subsection 21 of section 103.4 of the **ISO rules**, *Power Pool Financial Settlement* that a **settlement date** for a **pool participant** must be either the eighteenth or nineteenth **business day** following a **settlement period**, calculate the amount of interest for that **pool participant** at the Bank of Montreal Canadian prime rate plus 12%, for so long as the **pool participant** has an accelerated settlement date in accordance with that subsection 21 of section 103.4 of the **ISO rules**, *Power Pool Financial Settlement*.

#### Late Payment Charge

**3** The **market participant** must, if it fails to pay in full any **financial obligation**, pay a late payment charge equal to 2 days interest on the outstanding balance, calculated on the **day** following the payment due date at the applicable interest rate determined under subsection 2.

#### Other Charges

**4** The **market participant** must, if it fails to pay in full any **financial obligation**, pay to the **ISO** any additional fees, costs and charges the **ISO** incurs in the course of collecting or litigating to recover the outstanding balance, including:

- (a) any enforcement and litigation costs on a solicitor and client basis for legal services; and
- (b) the recovery of any bank charges billed to the **ISO** related to the payment default of the **market participant**, including overdraft bank processing fees or any other fee the bank of the **ISO** charges as a result of the payment default.

#### ISO Right to Realize on Financial Security

**5** The **ISO** may, subject to the terms of any form of **financial security**, **system access service** agreement, **ancillary services** agreement or any other agreement between the **ISO** and the **market participant** or its guarantor, by written notice, immediately realize upon any form of **financial security** provided to the **ISO** by the **market participant** or its guarantor, in partial or full satisfaction of the amount of outstanding indebtedness, including any interest and any other charges referred to in this section 103.7 if:

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.7 Financial Default and Remedies



- (a) a **market participant** or its guarantor fails to pay in full any **financial obligation**; or
- (b) in the opinion of the **ISO**, the **market participant** or its guarantor:
  - (i) becomes insolvent or is unable to meet its debts as they mature;
  - (ii) files a voluntary petition in bankruptcy or seeks reorganization or to effect a plan or other arrangement with creditors;
  - (iii) files an answer or other pleading admitting, or fails to deny or contest, the material allegations of an involuntary petition filed against it pursuant to any applicable statute relating to bankruptcy, arrangement or reorganization;
  - (iv) is adjudicated a bankrupt or makes an assignment for the benefit of its creditors generally;
  - (v) applies for, consents to, or acquiesces in the appointment of any receiver or trustee for all or a substantial part of its property, and any such receiver or trustee is appointed and is not to be discharged within 30 **days** after the date of such appointment; or
  - (vi) generally is unable to pay its debts as such debts become due.

#### Restoration of Financial Security

**6(1)** The **ISO** may, at its sole discretion, if it realizes upon any form of **financial security** against a defaulting **market participant** or its guarantor and:

- (a) the **ISO** has not issued a notice of termination in accordance with subsection 7; and
- (b) the **market participant** has any outstanding residual **financial obligation**;

deliver written notice to the **market participant** to replace the form of **financial security**.

**(2)** The **market participant** receiving notice under subsection 6(1) must replace the form of **financial security** no later than the close of business on the second **business day** after the delivery of the notice.

**(3)** The **ISO** may exercise any or all of the remedies specified in this section 103.7 against the **market participant** if, after delivery of the notice, the **market participant** fails to replace the form of **financial security** in accordance with subsection 6(2).

#### Suspension or Termination

**7** The **ISO** may, for any default referred to in subsection 5 and subject to the terms of any form of **financial security** or any agreement referenced in that subsection, by written notice, suspend or terminate any service or all services the **ISO** provides to the **market participant**, including its:

- (a) registration as a **pool participant**, and any related validation, authorization or acceptance of any of its **bids** or **offers** or other form of transactional activity in the **power pool** under the **ISO rules**;
- (b) registration of any **net settlement instruction** and related activity under section 103.5 of the **ISO rules**, *Net Settlement Instruction*;
- (c) unsecured credit limit granted under section 103.3 of the **ISO rules**, *Financial Security Requirements*; and
- (d) **system access service** or any other **ISO tariff** agreements or services under the **ISO tariff**.



#### ISO Termination Final Statement

**8** The **ISO** must make final determinations of all **ISO** outstanding amounts and financial losses as at the date and time of a termination under subsection 7, and on the **business day** when the **ISO** delivers the notice of termination, or as soon after as is reasonable, provide to the **market participant** a statement showing all final calculations.

#### Failure to Provide Additional Financial Security by Non Rated Entity

**9** The **ISO** may, if a **market participant** has been granted an unsecured credit limit under section 103.3 of the **ISO rules**, *Financial Security Requirements* and it fails to provide an additional or replacement form of **financial security** as demanded by the **ISO** by notice under subsection 6(6) of section 103.3 of the **ISO rules**, *Financial Security Requirements*, exercise any or all of the remedies set out in this section 103.7 against the **market participant**.

#### Other Remedies

**10(1)** The remedies set out in this section 103.7 are in addition to any other legal or equitable remedies available to the **ISO**.

**(2)** A suspension or termination of any or all services under subsection 7 does not release, discharge, limit or otherwise affect any outstanding **financial obligation** of the **market participant** or its guarantor.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2016-11-29	Revisions to the Applicability section
2015-11-26	Amendments to numbering references in subsection 2(3)
2011-07-01	Initial release

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.12 Compliance Monitoring



#### Applicability

- 1 Section 103.12 applies to:
  - (a) a **market participant**; and
  - (b) the **ISO**.

#### Requirements

#### Application of Other Remedies

2 The **ISO** may pursue the actions and remedies authorized under this section 103.12 in addition to any other action or remedies that may be available to it elsewhere in the **ISO rules** or under law, regulation or order and nothing in this section 103.12 limits the right of the **ISO** to take action or seek remedies otherwise available to it, and such action or remedies may be pursued in lieu of or in addition to the action or remedies specified in this section 103.12.

#### Extent of Compliance Monitoring

- 3(1) The **ISO** must use the provisions of this section 103.12 as the basis for determining whether it suspects a contravention of the **ISO rules** or **reliability standards** or an infraction of the **Commission's** load settlement rules.
- (2) The **ISO** must undertake such compliance monitoring of **market participants** as it considers appropriate, including establishing monitoring programs, processes and procedures.

#### Information Requests

- 4(1) The **ISO** may, itself or based upon input from either the **Commission** or **Market Surveillance Administrator**:
  - (a) determine that additional information is required from **market participants** in order to monitor compliance with **ISO rules**, **reliability standards** or load settlement rules; and
  - (b) make a written request, including an explanation of the need for such information, to a **market participant** possessing such information to provide it to the **ISO**.
- (2) The **ISO** must work with the **market participant** to set a reasonable time within which to provide any information requested pursuant to subsection 4 and to address any concerns regarding the need for the information.
- (3) The **ISO** may, to the extent that a request for information relates to load settlement rules, provide the **Commission** with a copy of such request, but in any event, must provide a copy upon the request of the **Commission**.
- (4) The **ISO** may, to the extent that a request for information relates to **ISO rules** or **reliability standards**, provide the **Market Surveillance Administrator** with a copy of such request, but in any event, must provide a copy upon the request of the **Market Surveillance Administrator**.

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.12 Compliance Monitoring



#### Requirement to Comply with an Information Request

**5** A **market participant** that receives a request pursuant to subsection 4(1) must provide the **ISO** with all information that the **ISO** requests and must do so in the time period set out in the request.

#### Confidentiality

**6(1)** The **ISO** must, subject to section 103.1 of the **ISO rules**, *Confidentiality*, conduct compliance monitoring on a confidential basis, including:

- (a) treating information, recommendations and referrals the **ISO** provides to the **Commission** or the **Market Surveillance Administrator** as confidential and
- (b) treating the source of any complaint to the **ISO** regarding compliance as confidential.

**(2)** The **ISO** must, notwithstanding subsection 6(1) and section 103.1 of the **ISO rules**, *Confidentiality*, make information obtained pursuant to this section 103.12 available to either or both of the **Commission** and the **Market Surveillance Administrator** as part of a referral under subsections 11 and 12 or as part of a report under subsection 10.

**(3)** The **ISO** must limit its use of information obtained in accordance with this section 103.12 to purposes related to compliance with applicable **ISO rules**, **reliability standards** and load settlement rules.

#### Complaints

**7(1)** A **market participant** or other interested **person** may submit a complaint to the **ISO** regarding compliance with the **ISO rules**, **reliability standards** or load settlement rules and if it does, the **market participant** or other interested party must provide sufficient information to allow the **ISO** to initiate an assessment of the complaint and to maintain communication with the complainant, which such information may include the following:

- (a) the name, address, telephone number and, if available, email address of the party making the complaint;
- (b) the particulars of the complaint;
- (c) any facts or information that support the complaint; and
- (d) the signature of the individual or authorized representative of the party making the complaint.

**(2)** The **ISO** may, except as required by the **Act** or related regulations, by a regulatory authority with jurisdiction, or by applicable **ISO rules**, **reliability standards** or load settlement rules, decline to act with respect to any specific complaint if the **ISO** considers:

- (a) the complaint is frivolous, vexatious, trivial or otherwise does not warrant action on the part of the **ISO**; or
- (b) the subject matter is under the jurisdiction of another authority.

**(3)** The **ISO** must, as soon as practicable, provide a written response to a complainant notifying the complainant of the **ISO**'s decision regarding the course of action the **ISO** is taking in response to a complaint and the outcome of the related assessment, if any.

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.12 Compliance Monitoring



#### Assessments

**8(1)** The **ISO** may:

- (a) in response to a complaint relating to compliance with **ISO rules, reliability standards** or load settlement rules; or
- (b) as initiated by the **ISO**;

conduct an assessment in order to determine whether it suspects that a **market participant** may have contravened **ISO rules, reliability standards** or load settlement rules,

**(2)** The **ISO** may, if conducting the assessment referred to in subsection 8(1), include consideration of the following:

- (a) the alleged failure of a **market participant** to comply with applicable **ISO rules, reliability standards** and load settlement rules;
- (b) any representations made by a **market participant** that is the subject of an alleged failure to comply with applicable **ISO rules, reliability standards** and load settlement rules;
- (c) whether there is a reasonable basis or reasonable evidence to suspect that a **market participant** contravened the **ISO rules, reliability standards** or committed an infraction of the load settlement rules; and
- (d) any mitigating factors as identified in subsection 13.

#### Compliance Monitoring Audits

**9(1)** The **ISO** may, as part of an assessment set out in subsection 8(1), determine that a compliance monitoring audit of a **market participant** is required in order to more fully review the **market participant's** compliance with **ISO rules, reliability standards** or load settlement rules.

**(2)** The **ISO**, and its appointed third party, if any, must, with respect to the conduct of any compliance monitoring audit, work with the **market participant** to set a reasonable time for the conduct and completion of the audit.

**(3)** The **ISO** or its appointed third party, if any, must develop a report for each compliance monitoring audit which must include the following:

- (a) a description of the objective, scope and methodology of the audit;
- (b) any suspected or potential contraventions with **ISO rules, reliability standards** or load settlement rules;
- (c) any mitigation or remedial action measures which have been completed or are pending by the **market participant**; and
- (d) the nature of any confidential information provided.

**(4)** The **ISO** must provide a draft of the compliance monitoring audit report to the **market participant** for comment before the **ISO** completes the report.

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.12 Compliance Monitoring



#### Reports to the Commission

**10(1)** The **ISO** must:

- (a) in accordance with section 11 of **Commission Rule 021 Settlement System Code Rules**; and
- (b) to the extent that the **ISO** conducts an investigation regarding compliance with load settlement rules;

at the conclusion of the investigation, submit a written report to the **Commission** detailing:

- (c) the original complaint reference;
- (d) a summary of the investigation carried out;
- (e) a list of requests for information from **market participants**;
- (f) the findings resulting from the investigation; and
- (g) any recommendation arising from the investigation or findings.

**(2)** The **ISO** may only provide the report identified in subsection 10(1) to the **Commission**, the **market participant** that is the subject of the report, and the complainant, if any.

#### Referral to the Market Surveillance Administrator

**11(1)** The **ISO** must, subject to provisions in the **Act** or related regulations and if the **ISO** suspects that a **market participant** has contravened the **ISO rules** or **reliability standards**, refer the matter, in writing, to the **Market Surveillance Administrator**.

**(2)** The **ISO** must provide written notice to the **market participant** whose compliance is in question when a matter is referred to the **Market Surveillance Administrator** in accordance with subsection 11(1).

#### Referral to the Commission

**12(1)** The **ISO** must, subject to provisions in the **Act** and any rules the **Commission** makes respecting load settlement and if the **ISO** suspects that an infraction of the load settlement rules has occurred, refer the matter, in writing, to the **Commission**.

**(2)** The **ISO** must provide written notice to the **market participant** whose compliance is in question when a matter is referred to the **Commission** in accordance with subsection 12(1).

#### Compliance Exceptions

**13** A **market participant** is not required, notwithstanding any other provision in the **ISO rules**, to comply with a provision of the **ISO rules** to the extent the **market participant's** action or inaction is caused by any one or more of the following:

- (a) an event of **force majeure** but only if the **market participant** gives written notice to the **ISO** of the **force majeure** in reasonable detail no later than 2 **business days** after it knows of the

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.12 Compliance Monitoring



- event or condition and makes all reasonable efforts to cure, mitigate or remedy the **force majeure**;
- (b) a circumstance related to the operation of a **pool asset, transmission facility or electric distribution system** which if it operated could reasonably be expected to affect the immediate safety of equipment, the environment, staff or the public;
  - (c) actions or omissions that are consistent with **good electric industry practice** in a **system emergency**;
  - (d) actions or omissions specifically required under the **Act** or related regulations, other applicable legislation or related regulations, or by a regulatory authority with jurisdiction; or
  - (e) actions or inactions in response to a **directive**.

#### Return of Information to a Market Participant

**14(1)** The **ISO** may maintain in its possession information obtained pursuant to this section 103.12 for as long as the **ISO**, in its sole discretion, deems necessary.

**(2)** The **ISO** must, notwithstanding subsection 14(1), return original, hard copy information obtained pursuant to this section 103.12 to the **market participant** that submitted the information within a reasonable time period following the **ISO's** receipt of a written request from that **market participant** for the same.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2012-12-14	Initial release

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.14 Waivers and Variances



#### Applicability

- 1 Section 103.14 applies to:
  - (a) a **market participant**, including:
    - (i) a **legal owner**;
    - (ii) an **operator**; and
    - (iii) a **pool participant**; and
  - (b) the **ISO**.

#### Requirements

##### Applicable ISO rules

**2(1)** The **ISO** must consider a request for either one or both of a waiver and variance to any requirement in the following:

- (a) Section 304.3 of the **ISO rules**, *Wind and Solar Power Ramp Up Management*;
- (b) Section 304.9 of the **ISO rules**, *Wind and Solar Aggregated Generating Facility Forecasting*;
- (c) any Section in Division 502, *Technical Requirements of Part 500, Facilities* of the **ISO rules**; and
- (d) any predecessor document to the **ISO rules** set out in subsections 2(a) through (c).

**(2)** The **ISO** may either grant, in whole or in part, or deny a request for a waiver or variance submitted in accordance with this Section 103.14.

##### Grounds for requesting a waiver or variance

**3(1)** A **market participant** may request either one or both of a waiver and variance to any of the requirements set out in the **ISO rules** or predecessor documents listed in subsection 2.

**(2)** A **market participant** must provide grounds for requesting a waiver or variance which must be the grounds specified in the applicable **ISO rule** or predecessor documents or, where the grounds are not specified, must include one or more of the following circumstances where compliance with the requirements of the subject **ISO rule**:

- (a) is not technically possible or is precluded by technical limitations;
- (b) is operationally infeasible;
- (c) is operationally unnecessary to achieve the intended purpose or outcome of the **ISO rule**;
- (d) cannot be achieved by the required compliance date regardless of good faith efforts by the **market participant** which does not include a failure to appropriately plan;
- (e) would pose a safety risk or safety issue;
- (f) would conflict with a separate statutory or regulatory requirement that is applicable and cannot be waived or exempted;
- (g) would require the incurrence of costs that significantly outweigh the benefits achieved or would result in severe economic hardship;
- (h) could be achieved in an alternate timeframe that is reasonable to consider in light of other relevant factors, including upcoming scheduled maintenance, and anticipated facility upgrades;

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.14 Waivers and Variances



- (i) would have suboptimal results compared with the use of alternate technology that would meet or exceed the objectives of the subject **ISO rule**; and
- (j) does not allow for testing the application of technology that was not considered during the development of the requirements.

#### Criteria for evaluating a request

4 The **ISO** must be satisfied that the grounds provided are sufficient and use one or more of the following criteria to evaluate any request for a waiver or variance:

- (a) criteria already specified in the applicable **ISO rule**;
- (b) technical feasibility;
- (c) operational feasibility and burden;
- (d) safety;
- (e) economic impacts;
- (f) material impacts on a fair, efficient, and openly competitive market;
- (g) whether appropriate mitigation measures, mitigation plans, or remediation plans can be or are put in place; and
- (h) the **reliability** of the **interconnected electric system**.

#### Submission of Information

5 A **market participant** must:

- (a) make a request for a waiver or variance to the **ISO** in writing in the form the **ISO** specifies;
- (b) respond to requests from the **ISO** for additional information or for the submission of a revised request; and
- (c) notify the **ISO** as soon as practicable upon becoming aware of a material change in the facts or circumstances underlying a request.

#### Evaluation Process

6 The **ISO** must:

- (a) acknowledge receipt of a request for a waiver or variance;
- (b) request any additional information it requires to complete the evaluation of the request;
- (c) provide updates on progress;
- (d) provide a written decision to the **market participant**; and
- (e) if it denies the request, give reasons.

#### Content of a waiver or variance

7 The **ISO** must include the effective date in an approved waiver or variance and any of the following as applicable:

- (a) expiry date;
- (b) mitigation or remediation plans, including milestones;



# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.14 Waivers and Variances



- (c) reporting requirements; and
- (d) any other terms and conditions the **ISO** considers necessary.

#### Ongoing management of a waiver or variance

**8(1)** A **market participant** must, as soon as practicable, notify the **ISO** of any material change to the facts or circumstances underlying the approval of a waiver or variance.

**(2)** A **market participant** may transfer a waiver or variance with the **ISO's** written consent which consent will not be unreasonably withheld.

**(3)** The **ISO** may amend or revoke a waiver or variance upon reasonable notice if:

- (a) there is a material change to the facts or circumstances underlying the approval of the waiver or variance; or
- (b) the **market participant** does not fulfill the terms or conditions of the approval.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2019-12-11	Initial release.

### Applicability

- 1 Section 201.1 applies to:
  - (a) a **market participant**; and
  - (b) the **ISO**.

### Requirements

#### Mandatory Registration as a Pool Participant

- 2 A **market participant** must be registered with the **ISO** as a **pool participant** in order to exchange electric energy through the **power pool** or provide **ancillary services**.

#### Application by a Market Participant

- 3 A **market participant** seeking to register as a **pool participant** must provide the **ISO** with the following:
  - (a) a completed **pool participant** application form, available on the AESO website; and
  - (b) at the time of submitting the application, the non-refundable pool participation fee as set out in the *Schedule of ISO Fees*.

#### Registration Eligibility Criteria

- 4 The **ISO** must process a **pool participant** application from a **market participant** that has submitted the application form and fee referred to in subsection 3 and satisfied the following eligibility criteria:
  - (a) has provided any **financial information** and **financial security**, and has the ability to meet any **financial obligations** under the **ISO rules** as applicable to a **pool participant**;
  - (b) has an agreement with a **meter data manager**, **load settlement agent** or any other such **agent** or **person** the **ISO** otherwise approves to provide **metered energy** data to the **ISO** or, if the **market participant** intends to act as an importer, an exporter or both, has a valid **system access service** agreement with the **ISO**;
  - (c) has satisfied any outstanding **financial obligations** attributable to any previous **pool participant** registration; and
  - (d) in the case of an application to facilitate the provision of **ancillary services**, has entered into a contract to trade such products, either with the **ISO** or with an approved **agent** of trading services or both, and has met the technical requirements the **ISO** has set for the provision of **ancillary services**.

#### Receipt and Approval or Rejection of an Application

- 5(1) The **ISO** must acknowledge in writing the receipt of a **pool participant** application, including any supporting documents and the non-refundable pool participation fee within 5 **business days** of the **ISO** receiving them.
- (2) The **ISO** must review the **pool participant** application and any supporting documents to ensure completeness, and may request additional clarification or information from the **market participant**.
- (3) The **ISO** must, within 20 **business days** of receiving the application, process it and provide written notification to the **market participant** of approval or rejection of the application, or of any

requested clarification or information deficiencies in the application, including any deficiencies regarding **financial information**, **financial security** or supporting documents.

(4) The 20 **business day** review deadline date will be extended while the **ISO** is waiting for the **market participant** to provide any further information or clarification, or to remedy any deficiencies referenced in subsection 5(3), if applicable.

(5) The **ISO** must approve the application if, in the **ISO's** opinion, the application is complete and the **market participant** has satisfied the eligibility requirements.

(6) If the application is deficient, then the **ISO's** remedy is to reject it.

(7) If the **ISO** approves the application, then on the condition that the **pool participant** continues to meet the eligibility criteria set out in subsection 4, the registration remains in force and effect until December 31 of that same calendar year.

### ISO Requirement to Maintain Lists

6 The **ISO** must maintain one or more lists containing current **pool participant** information including all **pool assets**, the status of such **pool assets**, the names of the **pool participant** associated with **pool assets** and any **agents**, and must make the lists available on the AESO website.

### Pool Participant Registration Updates

7(1) A **pool participant** must provide updated information regarding its **pool participant** registration, its **agents** and its **pool assets** by following the procedures set out on the AESO website.

(2) The **ISO** must process updates to registration information:

- (a) within 20 **business days** of receiving such information, if the update is one that requires the **pool participant** to meet additional technical requirements; or
- (b) within 10 **business days** of receiving such information if the update is not one that requires the **pool participant** to meet additional technical requirements.

### Failure of a Pool Participant to Continue to Meet Registration Requirements

8(1) The **ISO** must notify the **pool participant** in writing of the matter and provide the **pool participant** an opportunity to explain the circumstances in writing if the **ISO** has reason to believe that a **pool participant** has ceased to meet any eligibility criteria set out in subsection 4 at any point in time after initial registration.

(2) The **ISO** may suspend or terminate the **pool participant's** registration and may realize on any **financial security** to the extent of any **ISO** outstanding financial exposure which results from the suspension or termination of the registration if the **ISO** continues to have reason to believe that the **pool participant** has ceased to meet the requirements of subsection 4 after reviewing the explanation.

(3) A **pool participant** that has had its registration suspended or terminated under this subsection 8 may dispute the **ISO's** decision under the dispute resolution provisions of Section 103.2 of the **ISO rules**, *Dispute Resolution* with ultimate recourse to the **Commission** or the **Market Surveillance Administrator** as provided for in Section 103.2 of the **ISO rules**, *Dispute Resolution*.

(4) Notwithstanding Section 103.2 of the **ISO rules**, *Dispute Resolution*, the initiation of a dispute resolution process will stay the suspension or termination of the **pool participant's** registration pending the outcome of such dispute resolution process unless the **pool participant** is in default under Section 103.7 of the **ISO rules**, *Financial Default and Remedies*.

### Voluntary Termination of Registration by a Pool Participant

- 9** A **pool participant** that wishes to terminate its registration may do so by completing all of the following:
- (a) notifying the **ISO** in writing that it wishes to terminate its registration;
  - (b) requesting in writing that the **ISO** retire any of its **pool assets** identified on the **ISO** list of **pool assets**;
  - (c) specifying in the notice a date upon which it will cease to be a **pool participant**; and
  - (d) satisfying any outstanding **financial obligations** to the **ISO**.

### Effect of Termination

**10(1)** A **pool participant** that is or may become liable under these **ISO rules** in connection with its activities as a **pool participant** remains liable after the date of termination of its registration and despite ceasing to be a **pool participant**.

**(2)** After the **ISO** has terminated a **pool participant** registration, it must release any related **financial security** to the **pool participant** no later than **30 days** after the date the last **financial obligations** of such **pool participant** are satisfied and to the extent there is no additional outstanding **financial obligation** exposure for or to the **ISO**.

### Reinstatement of Registration

**11** The **market participant** must submit a new application for registration under this Section 201.1 in order to once again become a **pool participant** if the **ISO** terminates a **pool participant** registration or if a **market participant** previously has voluntarily terminated its registration under subsection 9.

### Renewal of Registration

**12** The **ISO** must renew a **pool participant's** registration effective each January 1<sup>st</sup> but, in addition to the provisions of subsection 8(2), may suspend or terminate it if the **pool participant** fails to pay the applicable non-refundable pool participation fee as invoiced on its December **power pool** statement issued in January.

### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2020-09-16	Administrative amendments
2015-12-07	Update to add non-refundable to subsections 3, 5 and 12
2011-09-30	Supersedes September 16, 2010 version

# ISO Rules

## Part 200 Markets

### Division 201 General

#### Section 201.2 Appointment of Agent



#### Applicability

- 1 Section 201.2 applies to:
  - (a) a **pool participant**; and
  - (b) the **ISO**.

#### Appointment of Agent

- 2(1)** A **pool participant** may, with the approval of the **ISO** in accordance with this section 201.2, appoint an **agent** to act on behalf of the **pool participant**.
- (2)** A **pool participant** wishing to appoint an **agent** under subsection 2(1) must complete and submit to the **ISO** an *Agent Appointment Request Form* as posted by the **ISO** on the AESO website.
- (3)** The completed *Agent Appointment Request Form* must include a representation and warranty by the **pool participant** that all information provided is true and correct to the best of its knowledge, and that the **pool participant** will be bound by and fully responsible for all acts or omissions of the **agent**.
- (4)** The **ISO** must approve the appointment of the **agent** if the **ISO** is satisfied that the **agent** appointment is duly authorized and that the authority of the **agent** to act on behalf of and bind the **pool participant** is clearly approved of by the **pool participant**, then subject to the other provisions of this section 201.2.
- (5)** 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 section 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.
- (6)** The **ISO** must post on the AESO website a list of all **agents** appointed under this section 201.2.

#### Appendices

None.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2011-12-31	Initial release

# ISO Rules

## Part 200 Markets

### Division 201 General

#### Section 201.3 Offer Control Information



#### Applicability

- 1 Section 201.3 applies to:
- (a) a **pool participant**.

#### Requirements

##### Offer Control Information

- 2(1) A **pool participant** that submits:

- (a) an **offer**; or
- (b) a **bid** for an export **interchange transaction**

must also submit to the **ISO** the **offer control information** in accordance with subsection 2(2).

- (2) A **pool participant** must submit **offer control information**:

- (a) for a final **offer** or **bid** that has a quantity greater than 0 MW;
- (b) for each **settlement interval**, subsequent to any restatements or **pool asset** substitutions made prior to or during the **settlement interval**;
- (c) in the case of energy or **dispatch down service**, for each **operating block** that is available to receive a **dispatch**; and
- (d) in the case of **operating reserve**, for all **offers** or **bids** which the **ISO** accepts.

#### Deadline for Submitting Offer Control Information

- 3 A **pool participant** must submit **offer control information** to the **ISO** no later than 30 **days** after the **settlement interval** to which the **offer control information** applies.

#### Revision History

Effective	Description
xxxx-xx-xx	Amended to align with AESO's drafting principles.
2013-11-08	Restructured to aid in compliance
2012-12-03	Initial release

# ISO Rules

## Part 200 Markets

### Division 201 General

#### Section 201.4 Submission

#### Methods and Coordination of Submissions



#### Applicability

- 1 Section 201.4 applies to:
  - (a) a **pool participant**; and
  - (b) the **ISO**.

#### Requirements

##### Submission Method

**2(1)** A **pool participant** must, unless otherwise set out in the **ISO rules**, submit any information required under Sections 201 through 206 of the **ISO rules**, including **offers**, **bids**, operating constraints, **net settlement instructions**, **acceptable operational reasons** and reasons for restatements, through the Energy Trading System in accordance with the *Pool Participant Manuals* published on the AESO website.

**(2)** The **ISO** must make submission procedures available and give reasonable notice regarding any changes to the Energy Trading System.

##### Unable to Submit through the Energy Trading System

**3(1)** The **pool participant** must, if a **pool participant** is unable to submit information through the Energy Trading System in accordance with subsection 2 because the **pool participant's** computer systems are unavailable, submit mandatory restatements to the **ISO** by telephone.

**(2)** If a **pool participant** submits information by telephone in accordance with subsection 3(1), the following conditions apply:

- (a) the **ISO** will not enter the information into the Energy Trading System on behalf of the **pool participant**; and
- (b) the **pool participant** must resubmit all restatements for current and future **settlement intervals** submitted under subsection 3(1) as soon as it is possible to do so.

**(3)** The **ISO** must:

- (a) not use information received by telephone to determine the energy market **merit order**; but
- (b) use such information to satisfy the requirements that a **pool participant** notify the **ISO** as soon as practicable that a **dispatch** or **directive** will not be complied with and to provide operational information to the **ISO**.

##### Extension of Time

**4(1)** The **ISO** may extend the time set for submitting an **offer** or **bid** if there is a system-wide unavailability of the Energy Trading System and the **ISO** determines the length of the unavailability warrants such extension.

**(2)** The **ISO** may not extend the time for submitting **offers** or **bids** longer than 1 **settlement interval** following the **settlement interval** the Energy Trading System is back in service.

**(3)** The **ISO** must notify **pool participants** of any extension of time and its duration.

# ISO Rules

## Part 200 Markets

### Division 201 General

#### Section 201.4 Submission

#### Methods and Coordination of Submissions



#### Coordination of Submissions

**5** A **pool participant** must coordinate its submissions in a manner that ensures the **pool participant** is able to comply with all **dispatches** related to those submissions.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2020-09-16	Administrative amendments.
2014-07-02	Replaced the word “outage” with “unavailability” in subsection 4(1).
2013-01-08	Initial Release.



# ISO Rules

## Part 200 Markets

### Division 201 General

#### Section 201.5 Block Allocation



#### Applicability

1 Section 201.5 applies to:

- (a) the **ISO**

when managing the energy market and **dispatch down service**.

#### Requirements

##### Operating Block Allocation

**2(1)** The **ISO** must allocate to each **pool participant** one **pool ID** per **pool asset**.

**(2)** The **ISO** must allocate to each **source asset**:

- (a) that is not an import, 7 **operating blocks** for energy and one **operating block** for **dispatch down service**; and
- (b) that is an import, one **operating block** for energy with a \$0.00 **offer** price.

**(3)** The **ISO** must allocate to each **sink asset**:

- (a) that is not an export, 7 **operating blocks** for energy; and
- (b) that is an export, one **operating block** for energy with a \$999.99 **bid** price.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles
2013-01-08	Initial release

### Applicability

- 1 Section 201.6 applies to:
  - (a) the **ISO**.

### Requirements

#### Setting Marginal Price

- 2 The **ISO** must set the **pool asset** marginal price referenced in subsection 3 and the system marginal price referenced in subsection 4 for each minute of the **settlement interval**.

#### Pool Asset Marginal Price

- 3(1) The **ISO** must, subject to subsection 2 and 3(2), for each **pool asset**, set the **pool asset** marginal price at the price specified for the highest priced **operating block** in the **offer** or **bid** which has received a **dispatch**.
- (2) The **ISO** must, in setting the **pool asset** marginal price, not use that portion of an **operating block** in the **offer** or **bid** for a **pool asset** that has received a **dispatch** that results in a payment for **transmission constraint rebalancing**.

#### System Marginal Price

- 4(1) The **ISO** must, subject to subsections 2 and 4(2), set the system marginal price as:
  - (a) the highest **pool asset** marginal price, excluding imports and exports, in accordance with subsection 3;
  - (b) \$1000 per MWh if, to maintain the reliable operation of the system, the **ISO** has issued a **directive** to the **legal owner** of an **electric distribution system** to shed **firm load** in accordance with subsection 5(1) of Section 202.2 of the **ISO rules**, *Supply Shortfall and Short Term Adequacy*; or
  - (c) as prescribed in Section 202.7 of the **ISO rules**, *Markets Suspension or Limited Markets Operations*.
- (2) The **ISO** must, notwithstanding subsection 4(1)(a), not use the reference price as calculated in subsection 6 to set the system marginal price.

#### Pool Price

- 5 The **ISO** must set the **pool price** for each **settlement interval** as the time weighted average of the one-minute system marginal price values for that **settlement interval**.

#### Reference Price

- 6(1) The **ISO** must, subject to subsection 6(3), calculate the reference price as follows:  
reference price = (12.5 gigaJoules) multiplied by (the gas price)

Where:

the gas price is the monthly Canadian natural gas price for the month in Canadian \$/gigaJoule at AECO C and Nova Inventory Transfer, the Alberta Bidweek Spot Price, as published on the [theice.com/ngx](http://theice.com/ngx) website, in the "Canadian Gas Price Reporter", or otherwise.

# ISO Rules

## Part 200 Markets

### Division 201 General

#### Section 201.6 Pricing



- (2) The **ISO** must use reasonable efforts to use the current **month's** gas price beginning at midnight on the second **business day** of the same **month** but until the **ISO** can update the gas price for the current **month**, the **ISO** must continue to use the previous **month's** Alberta Bidweek Spot Price.
- (3) The **ISO** must, if the gas price in subsection 6(1) is not available, use a reasonably equivalent gas price for the purpose of calculating the reference price and must, if such unavailability becomes permanent, subsequently update this Section 201.6 to indicate the new source for obtaining the gas price.
- (4) The **ISO** must, if the **ISO** uses a price other than the gas price identified in subsection 6(1) to calculate the reference price,
- (i) revert to using the gas the price identified in 6(1) as soon as practicable; but
  - (ii) not modify the **pool price** due to any errors in the reference price.

#### Forecast Dispatch Price and Forecast Pool Asset Marginal Price

- 7(1)** The **ISO** must use reasonable efforts to publish a forecast **dispatch** price for each **settlement interval** on the AESO website no later than 70 minutes prior to the start of such **settlement interval**.
- (2) The **ISO** must set the forecast **dispatch** price for a **settlement interval** at the highest **pool asset** marginal price of all **pool assets** forecast to be required to meet the forecast load requirement, using the expected energy market **merit order** for the **settlement interval** including importer **operating blocks** and the **ISO**-expected import **available transfer capability** for the **interconnections** for the **settlement interval**.
- (3) The **ISO** must set the forecast **pool asset** marginal price for a **pool asset** for each **settlement interval** at the price specified for the **operating block** in the **offer** or **bid** which corresponds to the forecast energy market **dispatch** level of the **pool asset** to meet the forecast load requirement.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2021-08-08	Conducted administrative amendments to align with AESO drafting principles, fixed typographical errors, and removed and consolidated some provisions of Section 201.6 in order to improve clarity, reduce repetition, and reduce overall requirements.
2015-11-26	Added subsection 2(2) and related revisions to subsection 2(1).
2014-07-02	Added new subsection 6 for subject matter and drafting consistency.
2013-09-24	Updated to bold the term "firm load".
2013-01-08	Initial Release

### Applicability

- 1 Section 201.7 applies to:
- (a) a **pool participant**; and
  - (b) the **ISO**.

### Requirements

#### Issuing Dispatches

- 2(1) The **ISO** may issue a **dispatch** to a **pool participant**.
- (2) The **ISO** may issue a **dispatch** verbally or electronically.

#### Requirement to Comply

- 3(1) A **pool participant** must comply with a **dispatch** it receives subject to any other **ISO rule** or **reliability standard** and the exceptions in subsections 3(2).
- (2) A **pool participant** that is a **legal owner** of a generating **source asset** or an **operator** of a generating **source asset**, must comply with a **dispatch** it receives subject to the following exceptions:
- (a) it considers that a real and substantial risk of damage to its generating **source asset** could result if it complied with the **dispatch**;
  - (b) it considers that a real and substantial risk to the safety of its employees or the public could result if it complied with the **dispatch**;
  - (c) it considers that a real and substantial risk of undue injury to the environment could result if it complied with the **dispatch**;
  - (d) it has received verbal authorization from the **ISO** to vary the requirements of the **dispatch** during **commissioning** and testing in accordance with any one or all of section 504.3 of the **ISO rules**, *Coordinating Energization, Commissioning and Ancillary Services Testing*, section 504.4 of the **ISO rules**, *Coordinating Operational Testing*, section 505.3 of the **ISO rules**, *Coordinating Synchronization, Commissioning, WECC Testing and Ancillary Services Testing*, and section 505.4 of the **ISO rules**, *Coordinating Operational Testing*; or
  - (e) those exceptions set out in subsections 5 and 6 of section 203.4 of the **ISO rules**, *Delivery Requirements for Energy*.

#### Report Inability to Acknowledge a Dispatch

- 4(1) If a **pool participant** is unable to acknowledge a **dispatch** electronically due to an unavailability at its facilities of the Automated Dispatch and Messaging System or other electronic or communication systems, then the **pool participant** must verbally notify the **ISO** of the unavailability immediately after becoming aware of the unavailability and as soon as practicable, must also:
- (a) provide the reasons for the unavailability;
  - (b) provide an estimate of the duration of the unavailability;
  - (c) provide the details of an action plan to resolve the unavailability; and
  - (d) notify the **ISO** when the unavailability is over.
- (2) A **pool participant** must, if the unavailability is longer than expected, keep the **ISO** updated with current information regarding the expected duration of the unavailability.

# ISO Rules

## Part 200 Markets

### Division 201 General

#### Section 201.7 Dispatches



#### Acknowledging Dispatches

- 5** A **pool participant** must acknowledge receipt of a **dispatch**:
- (a) in the case of an automated message and unless the **pool participant** has notified the **ISO** of an unavailability in accordance with subsection 4(1)(a) by responding via the Automated Dispatch and Messaging System within two (2) minutes for an intra-Alberta transaction;
  - (b) in the case of contract **load shed service** for imports, within the time frame set out in the contract; or
  - (c) in the case of a voice **dispatch**, by repeating the **dispatch** to the **ISO**.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2014-07-02	Updated the references in subsection 3(2)(d) to the energization, commissioning and testing sections of the ISO rules; deleted the word "outages" in subsections 4 and 5 and replaced it with "unavailability".
2013-01-08	Initial Release

# ISO Rules

## Part 200 Markets

### Division 203 Energy Markets

#### Section 203.6 Available Transfer Capability and Transfer Path Management



#### Applicability

- 1 Section 201.9 applies to:
- (a) the **legal owner** of a **generating unit** that was subject to a **power purchase arrangement**, which has been terminated by the Balancing Pool, when the **legal owner** does not have an agreement for **system access service** for the **generating unit**; and
  - (b) the **ISO**.

#### Requirements

##### Compliance with Pool Participant and Market Participant Obligations

2 The **legal owner** of a **generating unit** that was subject to a **power purchase arrangement**, which has been terminated by the Balancing Pool, and for which the **legal owner** does not have an agreement for **system access service**, must comply with all obligations arising from being a **pool participant** and **market participant**, as if the **legal owner** had an agreement for **system access service** for the **generating unit**.

##### Financial Settlement Matters Related to the Legal Owner

3 The **ISO** must, for a **generating unit** that was subject to a **power purchase arrangement**, which has been terminated by the Balancing Pool, and for which the **legal owner** does not have an agreement for **system access service**, pay or charge the **legal owner** for the following amounts arising from the first **day** of the **month** following the **month** in which the Balancing Pool terminated the **power purchase agreement**:

- (a) all amounts arising under the **ISO tariff**, as if the **legal owner** were receiving **system access service** under Rate STS of the **ISO tariff**, *Supply Transmission Service*, at the **point of supply** for the **generating unit**; and
- (b) all amounts arising from the **legal owner** being a **pool participant** and **market participant**, as if the **legal owner** had an agreement for **system access service** in respect of the **generating unit**.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2018-03-28	Initial release

# ISO Rules

## Part 200 Markets

### Division 202 Dispatching the Markets

#### Section 202.4 Managing Long Lead Time Assets



#### Applicability

- 1 Section 202.4 applies to:
  - (a) a **pool participant**; and
  - (b) the **ISO**,

when providing or procuring energy from a **long lead time asset**.

#### Requirements

##### Start-Up Time

- 2 A **pool participant** must enter a start-up time of no greater than thirty-six (36) hours in the Energy Trading System.

##### Voluntarily Providing Energy from a Long Lead Time Asset that is not Synchronized

- 3(1) A **pool participant** must, if it wishes to have a **long lead time asset** that is not synchronized participate in the energy market, enter a start time for the **long lead time asset** prior to two (2) hours before the start of the **settlement interval**.
- (2) A **pool participant** must enter a start time in the Automated Dispatch and Messaging System.
- (3) A **pool participant** must enter a start time which indicates when the **pool participant** anticipates the **long lead time asset** will synchronize to the **interconnected electric system**.
- (4) A **pool participant** may:
  - (a) prior to two (2) hours before the start of the **settlement interval**, submit a restated start time for the **long lead time asset**; and
  - (b) within two (2) hours before the start of the **settlement interval**, submit a restated start time for the **long lead time asset** if it has an **acceptable operational reason**.
- (5) A **pool participant** must ensure that a restated start time submitted in accordance with subsection 3(4) represents the current physical condition of the **long lead time asset**.

##### Voluntarily Providing Additional Energy from a Long Lead Time Asset that is Synchronized

- 4(1) A **pool participant** must, if the **ISO** makes a request, declare the additional energy it would be able to provide from a **long lead time asset** that is synchronized.
- (2) Notwithstanding subsection 6 of section 203.1 of the **ISO rules**, *Offers and Bids for Energy*, a **pool participant** that has a **long lead time asset** that is synchronized must have the **available capability** submitted for the **long lead time asset** equal the **maximum capability** of the **long lead time asset** less that portion of its energy that it is not currently delivering.
- (3) A **pool participant** must, if it wants a **long lead time asset** that is synchronized to be eligible to receive a **dispatch** for the energy it is not currently delivering:
  - (a) reflect the availability of such energy by appropriately adjusting the **available capability** of the **long lead time asset**; and
  - (b) do so prior to two (2) hours before the start of the **settlement interval**.
- (4) A **pool participant** must ensure that the adjustment to **available capability** referenced in subsection 4(3)(a) represents the current physical condition of the **long lead time asset**.

# ISO Rules

## Part 200 Markets

### Division 202 Dispatching the Markets

#### Section 202.4 Managing Long Lead Time Assets



##### Cancelling a Directive for Energy from a Long Lead Time Asset

**5(1)** Notwithstanding subsection 3 of section 301.2 of the **ISO rules**, *Directives*, a **pool participant** may refuse a **directive** to provide energy from a **long lead time asset** if it chooses instead to receive a **dispatch** in the energy market.

**(2)** If a **pool participant** chooses to receive a **dispatch** as allowed in subsection 5(1), the **pool participant** must:

- (a) in the case of a **long lead time asset** that is not synchronized, enter a start time in accordance with subsection 3(1); and
- (b) in the case of a **long lead time asset** that is synchronized, adjust **available capability** in accordance with subsection 4(3); and

meet the time and MW requirements of the original **directive**.

**(3)** The **ISO** must, if a **pool participant** chooses to receive a **dispatch** in accordance with subsection 5(2), cancel the **directive** to provide energy from a **long lead time asset**, as applicable, and issue a **dispatch** according to the energy market **merit order**.

##### Payment for Incremental Generation Costs

**6(1)** Subject to subsection 6(2) below, subsections 5(1) and (2) of section 103.4 of the **ISO rules**, *Power Pool Financial Settlement* and the definition of **incremental generation costs**, a **pool participant** that has complied with a **directive** to provide energy from a **long lead time asset**, and with the cancellation of such **directive** may be eligible to receive payment for **incremental generation costs** from the **ISO**.

**(2)** A **pool participant** that elects to participate in the energy market:

- (a) before receiving a **directive** for energy from a **long lead time asset** that is not synchronized and by entering a start time in accordance with subsection 3;
- (b) before receiving a **directive** to provide energy from a **long lead time asset** that is synchronized and by adjusting **available capability**; or
- (c) after receiving a **directive** to provide energy from a **long lead time asset** but before complying with it and choosing instead to receive a **dispatch** in accordance with subsections 5(1) and 5(2),

is not eligible to receive payment for **incremental generation costs**.

##### Financial Settlement

**7(1)** A **pool participant** that has complied with a **directive** to provide energy from a **long lead time asset** must, within forty (40) **business days** after the end of the **settlement period** in which such **directive** was issued, issue to the **ISO** a statement showing the amount owing or owed as calculated in accordance with the definition of **incremental generation costs** and this subsection 7 along with supporting documentation.

**(2)** The **pool participant** must provide to the **ISO** the supporting information used to determine the amount specified in any statement provided pursuant to this subsection 7, including all information necessary to confirm the costs, charges and other items specified in the definition of **incremental generation costs** and such other information as the **ISO** considers appropriate and may request.

**(3)** The **ISO** must, if it approves the statement the **pool participant** issues, pay such statement on or before forty (40) **business days** following receipt by **ISO** of the statement and supporting information specified in this subsection 7.



# ISO Rules

## Part 200 Markets

### Division 202 Dispatching the Markets

#### Section 202.4 Managing Long Lead Time Assets



#### Reporting

**8** If the **ISO** issues a **directive** to provide energy from a **long lead time asset**, the **ISO** must prepare a report and post it on the AESO website which report must include:

- (a) an explanation of the circumstances that caused and are related to the issuance of the **directive**;
- (b) chronological events and material market impacts; and
- (c) any other matters the **ISO** deems appropriate.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2016-06-07	Amended to include subsection 2 "Start-Up Time".
2013-01-08	Initial release

# ISO Rules

## Part 200 Markets

### Division 202 Dispatching the Markets

#### Section 202.7 Markets Suspension or Limited Markets Operations



#### Applicability

- 1 Section 202.7 applies to:
  - (a) a **market participant**; and
  - (b) the **ISO**.

#### Requirements

##### State of Limited Markets Operations

- 2 If, due to:
  - (a) the unavailability of **ISO merit order** related tools; or
  - (b) the **ISO** being required to completely evacuate **ISO** personnel from the **ISO's** System Coordination Centre due to an emergency or disaster event, resulting in the **ISO** using its Back Up Coordination Centre;

the **ISO** cannot access the ordinary course energy market **merit order**, which lack of access materially impedes the **ISO's** ability to accurately and substantially issue **dispatches** and operate any one or all of the **merit orders**, then the **ISO** may, by the issuance of a declaration in accordance with subsection 3:

- (c) declare that a state of limited markets operations is in effect; and
- (d) invoke the limited markets operations procedures set out in this section 202.7.

##### Declaration Invoking a State of Limited Markets Operations

- 3(1) The **ISO** must issue a declaration if it is invoking a state of limited markets operations.
- (2) The declaration must include:
  - (a) the reasons that the **ISO** is invoking the state of limited markets operations;
  - (b) the commencement date and time of the state of limited markets operations; and  
a reasonable estimate of the anticipated date and time of termination of the state of limited market operations, and the return to ordinary course markets operations.
- (3) The **ISO** must use all reasonable efforts to issue the declaration as simultaneously as is possible to market **participants** who may reasonably be anticipated to be affected by the state of limited markets operations.
- (4) The **ISO** from time to time may issue a subsequent declaration updating **market participants** on limited markets operations developments as the circumstances warrant.
- (5) The **ISO** may select one or more of the following methods to issue a declaration, depending on which is the most practical and effective method under the circumstances:
  - (a) the real time AIES Event Log or other message communications posted on the AESO website;
  - (b) Automated Dispatch and Messaging System communications; or
  - (c) pre-recorded telephone notifications, followed up by written confirmations.

# ISO Rules

## Part 200 Markets

### Division 202 Dispatching the Markets

#### Section 202.7 Markets Suspension or Limited Markets Operations



#### Dispatches During a State of Limited Markets Operations

- 4 During a state of limited markets operations:
- (a) the **ISO** must use the most current and reasonably accurate **merit orders** then available to the **ISO** under the circumstances, to continue to issue **dispatches** in a manner which is as close as possible to ordinary course operations;
  - (b) the **ISO** must, subject to subsection 4(c), use all reasonable efforts to ensure that any **dispatches** the **ISO** has issued for **dispatch down services** and **ancillary services** at the commencement of the state of limited markets operations remain in effect until termination of the state of limited markets operations; and
  - (c) The **ISO** may, if the system marginal price exceeds the reference price during the state of limited markets operations, determine that any one or all of the **dispatch down services** must be terminated until the termination of the state of limited markets operations.

#### Energy Market Pricing During a State of Limited Markets Operations

**5(1)** The **ISO** must, during a state of limited markets operations and subject to subsection 5(2), determine the energy market **pool price** as the system marginal price at each minute, which must be the highest eligible **pool asset** marginal price of all **pool assets** to meet **system load** in the energy market **merit order** referred to in subsection 4(a).

**(2)** The system marginal price during a state of limited markets operations must be \$1,000 per MWh under the circumstances set out in subsection 3(1)(b) of section 201.6 of the **ISO rules**, *Pricing*.

#### Other Pricing During a State of Limited Markets Operations

- 6 During a state of limited markets operations:
- (a) the **ISO** must make **dispatch down service** payments based on the system marginal price in each minute, in accordance with subsection 8 of section 103.4 of the **ISO rules**, *Power Pool Financial Settlement*;
  - (b) the **ISO** must make **ancillary services** payments based on the **pool price**, which such price is determined in accordance with subsection 4 of section 201.6 of the **ISO rules**, *Pricing*;
  - (c) the **ISO** may suspend uplift payments under subsection 6 of section 103.4 of the **ISO rules**, *Power Pool Financial Settlement*; and
  - (d) the **ISO** may suspend payments for **transmission constraint rebalancing** required under subsection 7 of section 103.4 of the **ISO rules**, *Power Pool Financial Settlement*.

#### Termination of a State of Limited Markets Operations

**7(1)** The **ISO**, by issuing a declaration, must terminate a state of limited markets operations as soon as it restores ordinary course access to the merit orders.

**(2)** The **ISO** must use the most practical and effective communication method referenced in subsection 3(5) to issue a declaration to **market participants** that the **ISO** has terminated a state of limited markets operations and ordinary course **merit order** operations are to recommence by the date and time specified in the declaration.

# ISO Rules

## Part 200 Markets

### Division 202 Dispatching the Markets

#### Section 202.7 Markets Suspension or Limited Markets Operations



#### State of Markets Suspension

8(1) If:

- (a) the **interconnected electric system** is experiencing a **blackout**;
- (b) the **interconnected electric system** is breaking up into 2 or more **electrical islands** causing **transmission constraints** that significantly limit or prohibit markets operations; or
- (c) the **ISO** is unable to continue in a state of limited markets operations under this section 202.7 because:
  - (i) the **ISO** no longer can use the most current and reasonably accurate energy market **merit order** due to material variances between that energy market **merit order** and the energy production capabilities of the **pool assets** associated with the energy market **merit order**; or
  - (ii) the **ISO** no longer can perform and operate **merit order** functions at the Back Up Coordination Centre as referenced in subsection 2(b);

then once an approval is granted under subsection 8(2), the **ISO** may issue a declaration in accordance with subsection 9 invoking a state of markets suspension for the energy market, the **ancillary services** market and the **dispatch down service** market, and implementing the markets suspension procedures set out in this section 202.7.

(2) The **ISO** may not issue a declaration invoking a state of markets suspension without the approval of the Chief Executive Officer of the **ISO** or a designee, but if the **interconnected electric system** is experiencing a **blackout** as referenced under subsection 8(1)(a), then the **ISO** may, by declaration in accordance with subsection 9, invoke a state of markets suspension without Chief Executive Officer approval.

#### Declaration Invoking a State of Markets Suspension

9(1) The **ISO** must issue a declaration if it is invoking a state of markets suspension.

(2) The declaration must include:

- (a) the reasons that the **ISO** is invoking the state of markets suspension;
- (b) the commencement date and time of the state of markets suspension; and
- (c) a reasonable estimate of the anticipated date and time of the termination of the state of markets suspension, and the return to ordinary course markets operations.

(3) The **ISO** must use all reasonable efforts to issue the declaration as simultaneously as is possible to **market participants** who may reasonably be anticipated to be affected by the state of markets suspension.

(4) The **ISO** from time to time may issue a subsequent declaration updating **market participants** on markets suspension developments as the circumstances warrant.

(5) The **ISO** may select one or more of the following methods to issue the declaration, depending on which is the most practical and effective method under the circumstances:

- (a) the real time AIES Event Log or other message communications posted on the AESO website;
- (b) Automated Dispatch and Messaging System communications; or

# ISO Rules

## Part 200 Markets

### Division 202 Dispatching the Markets

#### Section 202.7 Markets Suspension or Limited Markets Operations



- (c) pre-recorded telephone notifications, followed up by written confirmation.

#### Effect of a State of Markets Suspension

**10** During the period of time a state of markets suspension is in effect, the **ISO**:

- (a) is not required to follow the **merit orders**; and
- (b) must determine the system marginal price in accordance with subsection 11.

#### System Marginal Pricing during a State of Markets Suspension

**11(1)** The **ISO** must, during a state of markets suspension and subject to subsection 11(2), determine the system marginal price at each minute, which price must be either the prior t30 **day** average **on peak** price or **off peak** price, depending on the hour of **day** the state of markets suspension is in effect.

**(2)** The system marginal price during a state of markets suspension must be \$1,000 per MWh under the circumstances set out in subsection 3(1)(b) of section 201.6 of the **ISO rules**, *Pricing*.

#### Operating Costs Recovery for Certain Market Participants

**12(1)** If for a state of markets suspension a **market participant** does not recover from energy receipts revenue all operating costs, as specified in subsection 12(2) below, for any **pool asset** that operated during that state of market suspension, then the **ISO** must pay to the **market participant** an additional amount up to, but not in excess of, those operating costs, net of the energy receipts revenue.

**(2)** Subject to subsection 12(3), the operating costs referred to in subsection 12(1) may include:

- (a) variable **supply transmission service** charges which are the actual cost of all variable charges from *Rate Schedule STS* of the **ISO tariff**, including the applicable **loss factor** charge or credit;
- (b) variable operating and maintenance charges;
- (c) fuel cost to operate the **pool asset**; and
- (d) other related reasonable costs the **ISO** approves.

**(3)** If during a state of markets suspension a **market participant** incurs start-up costs for a **pool asset** as the result of receiving a **directive** to start-up the **pool asset**, and then subsequently the **market participant**:

- (a) receives a **directive** to shut down the same **pool asset**; or
- (b) receives a **dispatch** to terminate energy delivery or consumption for the same **pool asset** upon the termination of the markets suspension and the return to ordinary course operations;

then the **market participant** may include those start-up costs in the operating costs to be recovered in accordance with subsection 12(2).

**(4)** The **ISO** must include as a line item in a **power pool** statement any charge to a **pool participant** under subsection 8 of section 103.6 of the **ISO rules**, *ISO Fees and Charges* for the **ISO** to recover any costs associated with the payment of operating costs net of energy receipts revenue due to a markets suspension under this section 202.7.

# ISO Rules

## Part 200 Markets

### Division 202 Dispatching the Markets

#### Section 202.7 Markets Suspension or Limited Markets Operations



#### Termination of a State of Markets Suspension

**13(1)** The **ISO**, by issuing a declaration, must terminate a state of markets suspension as soon as it restores ordinary course markets operations.

**(2)** The **ISO** must use the most practical and effective communication methods referenced in subsection 9(5) to issue a declaration to **market participants** that the **ISO** has terminated a state of markets suspension and ordinary course markets operations are to recommence by the date and time specified in the declaration.

**(3)** The **ISO** must publish a preliminary report on the AESO website, no later than 5 **business days** following the last **day** of a state of markets suspension, containing a summary of events and circumstances which led to the **ISO** invoking the state of markets suspension.

**(4)** The **ISO** must publish a final report on the AESO website, no later than 20 **business days** following the termination of a state of markets suspension, containing details on how the **ISO** managed the markets suspension situation and the **interconnected electric system** during the state of markets suspension, and the efforts the **ISO** undertook to return the markets to ordinary course markets operations.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles
2015-11-26	Addition of subsection 6(d) to refer to new subsection 7 of Section 103.4 of the ISO rules.
2013-01-08	Previously defined terms have been un-defined and so the words have been unbolded. Updated to refer to Section 201.6 <i>Pricing</i> .
2011-10-13	Initial release

# ISO Rules

## Part 200 Markets

### Division 203 Energy Market

#### Section 203.2 Issuing Dispatches for Energy



#### Applicability

- 1 Section 203.2 applies to:
  - (a) the **ISO**when operating the energy market.

#### Requirements

##### Dispatch Considerations

- 2 The **ISO** must, during normal system conditions and when a change in demand or supply requires a **dispatch** in order to balance the system, issue **dispatches** for the next **operating block** in the **merit order**, subject to any restrictions created by **inflexible blocks**.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles
2013-01-08	Initial release

### Applicability

- 1 Section 203.4 applies to:
- (a) a **pool participant** with a generating **source asset** that has an associated current **offer** when participating in the energy market; and
  - (b) the **ISO**.

### Requirements

#### Compliance Responsibilities

**2(1)** A **pool participant** may only deliver energy to the **interconnected electric system** pursuant to a **dispatch** or a **directive** the **ISO** issues.

- (2)** A **pool participant** must:
- (a) operate its generating **source assets** or cause them to be operated; and
  - (b) respond to **dispatches** from the **ISO**,

using **good electric industry practice**, including the design, implementation and use of reasonable **dispatch** protocols, together with personnel and software systems designed to detect and address errors or omissions in a timely fashion.

#### Generating Asset Steady State Compliance

**3(1)** A **pool participant** must not, during **generating asset steady state**, vary the average MW it delivers from a generating **source asset** in any **10 minute clock period** outside the **allowable dispatch variance**.

**(2)** A **pool participant** that is supplying **regulating reserve** from a generating **source asset** must, notwithstanding subsection 3(1), ensure that the average MW delivered in any **10 minute clock period** is not outside the **allowable dispatch variance** plus the **regulating reserve**.

#### Ramping Compliance

- 4(1)** A **pool participant** must move the output of a generating **source asset** which is:
- (a) the subject of a **dispatch**; and
  - (b) **ramping**

towards the MW level indicated in that **dispatch** within 10 minutes of the time specified in the **dispatch** but not prior to the time specified in the **dispatch**.

- (2)** A **pool participant** must ensure that each generating **source asset** reaches **generating asset steady state** in:
- (a) no longer than the period of time calculated as follows:
    - (i) divide the change in **dispatch** MW by the **ramp rate** the **pool participant** submits;
    - (ii) add 40% of the time calculated in subsection 4(2)(a)(i) or 5 minutes, whichever is greater; and
    - (iii) add the 10 minutes referred to in subsection 4(1);
- and
- (b) no sooner than the period of time calculated as follows:
    - (i) divide the change in **dispatch** MW by the **ramp rate** the **pool participant** submits; and



- (ii) subtract 40% of the time calculated in subsection 4(2)(b)(i) or 5 minutes, whichever is greater.

#### Operational Deviation

**5(1)** A **pool participant** must, if an **operational deviation** extends for 20 minutes or longer, submit an **available capability** restatement or MW restatement for the generating **source asset** that represents the operational capability of the generating **source asset** and must do so no later than 20 minutes after the commencement of the **operational deviation**.

#### Exceptions to Non-Compliance

**6(1)** Notwithstanding the provisions set out in subsections 3, 4 and 5, the **ISO** must not determine that a **pool participant** is non-compliant with a **dispatch** for a generating **source asset** if the **pool participant** has met its responsibilities as set out subsection 2 and one or more of the following circumstances occur:

- (a) the generating **source asset** is **ramping** into position to provide **operating reserve** in response to a **dispatch** in the 15 minutes before the time indicated in that **dispatch**;
- (b) the generating **source asset** is operating below the **minimum stable generation** level indicated in the Energy Trading System, but only if that generating **source asset** is:
  - (i) synchronizing and its **available capability** the **pool participant** submitted is equal to its **minimum stable generation** and it has received a **dispatch** for that quantity, in MW;
  - (ii) going off line and its **available capability** the **pool participant** submitted is equal to 0 MW and it has received a **dispatch** for that quantity, in MW;
  - (iii) unable to follow the **ramp rate** the **pool participant** submitted when its output is being increased to its **minimum stable generation** and the **pool participant** has submitted a verbal plan to the **ISO** indicating a proposal for **ramping** to **minimum stable generation**, which verbal plan must be provide an estimate of the time required to achieve the **ramp rate** and be updated for deviations of greater than 30 minutes or 50 MW; or
  - (iv) stopped at an output level not identified in the verbal plan referenced in subsection 6(1)(b)(iii) above, but which is below **minimum stable generation** for more than 30 minutes for an operational reason and the **pool participant** has submitted a restatement of the **available capability** accordingly;
- (c) the generating **source asset** is responding to abnormal frequency through automatic **governor** or **governor system** action;
- (d) an **operational deviation** has occurred and the **pool participant** has complied with subsection 5; and
- (e) energy is being delivered to the **interconnected electric system** from a generating **source asset** while it is being tested or commissioned or both, in accordance with applicable provisions of the **ISO rules**.

#### Concurrent Energy and Operating Reserve Requirements

**7(1)** The **ISO** must, when assessing a **pool participant's** compliance with subsections 4(3) through 4(6) of Section 205.2 of the **ISO rules**, *Issuing Dispatches and Directives for Operating Reserve* in a situation where there are concurrent energy and **spinning reserve** requirements or energy and **supplemental reserve** requirements, consider the time of the energy **dispatch** to be:

- (a) 15 minutes after the **directive** for **spinning reserve** or **supplemental reserve** in the case of subsection 4(3); and
- (b) the time the **pool asset** is providing the amount of **real power** described in subsection 10(1) of

# ISO Rules

## Part 200 Markets

### Division 203 Energy Market

#### Section 203.4 Delivery Requirements for Energy



Section 205.5 of the **ISO rules**, *Spinning Reserve Technical Requirements and Performance Standards*, or subsection 6(1) of Section 205.6 of the **ISO rules**, *Supplemental Reserve Technical Requirements and Performance Standards*, in the case of subsection 4(4);

- (c) the later of 15 minutes after the **directive** for **spinning reserve** or **supplemental reserve** or the time of the **dispatch** in the case of subsection 4(5); and
- (d) the time the **pool asset** is providing the amount of **real power** described in subsection 10(1) of Section 205.5 of the **ISO rules**, *Spinning Reserve Technical Requirements and Performance Standards*, or subsection 6(1) of Section 205.6 of the **ISO rules**, *Supplemental Reserve Technical Requirements and Performance Standards*, in the case of subsection 4(6).

(2) The **ISO** must, when assessing a **pool participant**'s compliance with subsections 4(3) through 4(6) of Section 205.2 of the **ISO rules**, *Issuing Dispatches and Directives for Operating Reserve* in a situation where there are concurrent energy and **spinning reserve** requirements or energy and **supplemental reserve** requirements, consider the MW quantity to be the energy **dispatch** quantity plus the **spinning reserve** or **supplemental reserve** quantity while the **directive** remains in effect.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2020-09-16	Amended Section 3(1) and 3(2) to clarify generating asset steady state compliance. Administrative amendments.
2014-12-23	Added subsection 7 to address requirements in section 205.2 of the ISO rules related to concurrent energy and operating reserve.
2013-01-08	Initial release

# ISO Rules

## Part 200 Markets

### Division 203 Energy Markets

#### Section 203.6 Available Transfer Capability and Transfer Path Management



#### Applicability

- 1 Section 203.6 applies to:
  - (a) a **pool participant** seeking to exchange or transact an import or export **interchange transaction**; and
  - (b) the **ISO**.

#### Capability Limits Determinations by the ISO

- 2(1) The **ISO** must determine and post on the AESO website the following capability limits in MW prior to each **settlement interval**, and also on an as required basis when **interconnected electric system** operating conditions change:
  - (a) the **Alberta interchange capability**;
  - (b) the import and export capability of the combined British Columbia and Montana transfer paths; and
  - (c) the import **available transfer capability** and export **available transfer capability** for each of the British Columbia, Montana and Saskatchewan transfer paths.
- 2(2) Once the **ISO** has determined the limits under subsection 2(1), it must ensure that:
  - (a) the amount in MW of all transmission service for all import and export **interchange transactions** for all transfer paths does not exceed the **Alberta interchange capability** limit referenced in subsection 2(1)(a);
  - (b) the amount in MW of all transmission service for all import and export **interchange transactions** for the combined British Columbia and Montana transfer paths does not exceed the combined limit referenced in subsection 2(1)(b); and
  - (c) the amount in MW of all transmission service for all import and export **interchange transactions** for an individual transfer path does not exceed the limit for that transfer path referenced in subsection 2(1)(c).

#### Total Transfer Capability Determinations by the ISO

- 3(1) The **ISO** must determine the import **total transfer capability** and the export **total transfer capability** for an individual transfer path, in order to determine the import **available transfer capability** and the export **available transfer capability** for that transfer path.
- 3(2) The **ISO** must make the determinations under subsection 3(1) with reference to the applicable provisions of any related **reliability standards**.

#### Available Transfer Capability Determinations by the ISO for a Transfer Path

- 4(1) The **ISO** must use the import **available transfer capability** and the export **available transfer capability** limits as referenced under subsection 2(1)(c) for an individual transfer path, as the **maximum capability** for scheduling **interchange transactions** on that transfer path.
- 4(2) The **ISO** must post on the AESO website the import **available transfer capability** and the export **available transfer capability** as determined for an individual transfer path.

# ISO Rules

## Part 200 Markets

### Division 203 Energy Markets

#### Section 203.6 Available Transfer Capability and Transfer Path Management



(3) The **ISO** must post on the AESO website as soon as is practicable any change to the import **available transfer capability** or the export **available transfer capability** for an individual transfer path.

#### Submission of Interchange Transaction Bids and Offers by a Pool Participant

**5(1)** A **pool participant** with an import or export energy **interchange transaction** must, notwithstanding Section 203.1 of the **ISO rules**, *Offers and Bids for Energy*, submit through the **Energy Trading System**, the import **offer** or export **bid** for the **interchange transaction**, as applicable, no later than 2 hours prior to the start of the **settlement interval** in order for the **interchange transaction** to be included in the **energy market merit order**.

(2) A **pool participant** with any form of **interchange transaction** must use all reasonable efforts to procure transmission service from applicable transmission service providers in an amount in MW at least equal to the **available capability** of the **interchange transaction**, which reasonable efforts must include:

- (a) determining whether there is transmission service posted by the applicable transmission service providers and available for that **interchange transaction**; and
- (b) submitting a request to the applicable transmission service providers to procure the transmission service if it has been posted and is available.

(3) A **pool participant** must submit a restatement of **available capability**, if after complying with subsection 5(2):

- (a) the **pool participant** is unable to procure all or a portion of the requested transmission service for an energy **interchange transaction**; or
- (b) the transmission service for an energy **interchange transaction** is curtailed after procurement either by any transmission service provider other than the **ISO**,

in which case, such a circumstance may be the basis for the determination of an **acceptable operational reason** under subsection (i)(c) of that definition.

(4) A **pool participant** with an **interchange transaction** may if, due to a determination by the **ISO** under subsection 10, the amount in MW of the **interchange transaction** on an individual transfer path exceeds the individual transfer path **available transfer capability** allocation as determined under that subsection:

- (a) submit a restatement of **available capability** to the level of the allocation; and
- (b) use such circumstance as the basis for the determination of an **acceptable operational reason** under subsection (i)(c) of that definition.

#### Submission of E-tags by Pool Participants

**6(1)** A **pool participant** with any import or export **interchange transactions** that has acquired transmission service must submit **e-tags** to the **ISO** for the **interchange transactions**.

(2) The **ISO** must receive **e-tags** no later than 20 minutes prior to the start of the **settlement interval** in order for the energy components of the **interchange transactions** to be included in an **interchange schedule** referenced in subsection 8.

(3) A **pool participant** must submit one or more **e-tags** for an energy **interchange**

# ISO Rules

## Part 200 Markets

### Division 203 Energy Markets

#### Section 203.6 Available Transfer Capability and Transfer Path Management



**transaction** such that the final total amount in MW agrees with the **available capability** of the single **source asset**:

- (a) as stated 2 hours prior to the start of the **settlement interval**; or
  - (b) as may be restated in accordance with the provisions of this section 203.6, but in any event the final total amount in MW must not exceed the **available capability** of the single **source asset** as stated at 2 hours prior to the start of the **settlement interval**.
- (4) A **pool participant** must submit, as applicable, an energy restatement in accordance with Section 203.3 of the ISO rules, *Energy Restatements* or an **ancillary services** restatement in accordance with Section 203.3 of the ISO rules, *Energy Restatements* if:
- (a) the **pool participant** is unable to procure transmission service, or the transmission service is curtailed by any transmission service provider other than the **ISO**, as referenced under subsection 5(3); or
  - (b) there is any other change in the **available capability** for the **sink asset** or the **source asset**, as applicable.

#### Validation of E-Tags by the ISO

- 7(1) The **ISO** must validate **e-tags** for **interchange transactions** in accordance with the provisions of this subsection 7.
- (2) The **ISO** must validate an **e-tag** prior to including the **e-tag** in an **interchange schedule**.
- (3) The **ISO** must validate an **e-tag** with reference to the provisions of **reliability standard** INT-006-AB-4 Evaluation of *Interchange Authority*.
- (4) The **ISO** must reject an **e-tag**:
- (a) if the **interchange transaction** is not being transacted by a **pool participant**;
  - (b) for an import **interchange transaction** if the source **balancing authority** is in the **WECC** and the sink **balancing authority** is the **ISO** and the source **balancing authority** is not carrying reserves allocated for that import **interchange transaction**;  
or
  - (c) if the **e-tag** is not fully completed.
- (5) The **ISO** may, if the provisions of this subsection 7 otherwise are complied with, validate and include in the **interchange schedule** any **e-tags** that are submitted after the 20 minute deadline set out in subsection 6(2).

#### Interchange Schedules and Dispatches by the ISO

- 8(1) The **ISO** must, subject to the provisions of this Section 203.6, include in the **interchange schedule** the energy components of **interchange transactions** if the **e-tags** for the **interchange transactions** have been:
- (a) received by the submission deadline set out in subsection 6(2); and
  - (b) validated under subsection 7.
- (2) The **ISO** must determine the **interchange schedule** for each transfer path before the start

# ISO Rules

## Part 200 Markets

### Division 203 Energy Markets

#### Section 203.6 Available Transfer Capability and Transfer Path Management



of the **settlement interval**, taking into account the allocation and constraint management procedures and sequencing set out in subsection 10 and subsection 11.

(3) The **ISO** must ensure that each **interchange schedule** period is equal to the **settlement interval** unless the **ISO** has an agreement with an adjacent **balancing authority** specifying an alternative **interchange schedule** start and end time for an individual transfer path, and, in that event, the timing of the **interchange schedule** for the transfer path must be governed by the form of agreement.

(4) The **ISO** must treat the energy component of a scheduled **interchange transaction** as a **dispatch** in accordance with the applicable **energy market merit order**.

(5) The **ISO** must not make any changes to an **interchange schedule** for a transfer path except if required to accommodate:

- (a) the delivery of external **supplemental reserves, spinning reserves or contingency reserves**;
- (b) a matter of **reliability** on the **interconnected electric system**, or a similar matter which may occur in any other **balancing authority area**;
- (c) an emergency or a **system emergency** on the **interconnected electric system** or in any other **balancing authority area**;
- (d) a **supply shortfall** or supply surplus matter; or
- (e) any curtailments resulting from the procedures and sequencing set out in subsection 10 and subsection 11.

(6) The **ISO** must, if it is required to accommodate any matter referred to in subsection 8(5), issue the resulting **interchange schedule** changes.

#### Saskatchewan Inadvertent Energy Management

9 If the **ISO** is required to manage an amount of **inadvertent energy** on the Saskatchewan transfer path, then:

- (a) the **inadvertent energy** is not eligible to set the **pool price**; and
- (b) **inadvertent energy** payback on the Saskatchewan transfer path must not exceed 25 MW.

#### Available Transfer Capability Allocations for Transfer Paths

10(1) The **ISO** must, at approximately 85 minutes prior to a **settlement interval**, determine whether the capability limits under subsection 2 may be exceeded, and if so then the **ISO** must determine the individual transfer path **available transfer capability** allocations in accordance with the following procedures:

- (a) the **ISO** must calculate the net **interchange transaction** amount in MW, at each potential **system marginal price**, taking into account:
  - (i) the energy **interchange transaction** amounts in MW, and the prices for **bids** and **offers**;
  - (ii) the **interchange transaction** amount in MW for **ancillary services**; and

# ISO Rules

## Part 200 Markets

### Division 203 Energy Markets

#### Section 203.6 Available Transfer Capability and Transfer Path Management



- (iii) applicable counterflows; and
- (b) the **ISO** may exclude any **wheel through transaction** amounts in MW if those amounts will not result in any limits or allocations under this Section 203.6 being exceeded.

(2) The **ISO** must comply with the following additional procedures in the following sequence to determine the allocation of each of the individual transfer path **available transfer capability** allocations:

- (a) the net amount in MW of all **interchange transactions** for the individual transfer path must be compared to the limit determined for that individual transfer path as referenced in subsection 2(1)(c), and:
  - (i) if that net amount is equal to or greater than the limit, then the allocation must be set at that limit; and
  - (ii) if that net amount is less than the limit, then the allocation must be set at that net amount;
- (b) for the British Columbia and Montana transfer paths, the sum in MW of their individual transfer path allocations calculated under subsection 10(2)(a) must be compared to the combined British Columbia and Montana transfer path limit referenced in subsection 2(1)(b);
- (c) if the combined transfer path limit of subsection 2(1)(b) is not exceeded, then the allocations must remain as determined in accordance with subsection 10(2)(a), but if it is exceeded, then a further allocation must be done in accordance with the following sequence in order to ensure the combined transfer path limit as determined under subsection 2(1)(b) is not exceeded:
  - (i) first, the British Columbia, or the Montana, or both the British Columbia and the Montana transfer path allocations must be reduced as necessary by the applicable **ancillary services** type **interchange transaction** amounts in MW;
  - (ii) second, the British Columbia, or the Montana, or both the British Columbia and the Montana transfer path allocations must be reduced as necessary by the applicable energy **interchange transaction** amounts in MW, with the reduction being in reverse **merit order** based on **bid** and **offer** prices; and
  - (iii) third, if there are equally priced British Columbia and Montana energy **interchange transactions**, then the British Columbia and Montana allocations must be reduced on a pro rata basis using the following formula:

the MW allocation for each of the Montana and British Columbia transfer paths as determined in accordance with subsection 10(2)(a), as may be reduced under subsections 10(2)(c)(i) and 10(2)(c)(ii);

divided by

the sum in MW calculated under in subsection 10(2)(b) as may be reduced under subsections 10(2)(c)(i) and 10(2)(c)(ii);

multiplied by

the amount by which that sum exceeds the combined British Columbia

# ISO Rules

## Part 200 Markets

### Division 203 Energy Markets

#### Section 203.6 Available Transfer Capability and Transfer Path Management



and Montana transfer path limit referenced in subsection 2(1)(b);

- (d) the allocation resulting from subsection 10(2)(c) plus the Saskatchewan transfer path allocation calculated under subsection 10(2)(a) must then be compared to the **Alberta interchange capability** limit referenced in subsection 2(1)(a); and
- (e) if the **Alberta interchange capability** limit is not exceeded, then the allocations must remain as determined in accordance with subsections 10(2)(a) and 10(2)(c), but if that limit is exceeded, then a further allocation of **available transfer capability** must be done in accordance with the following sequence in order to ensure that the **Alberta interchange capability** limit as determined under subsection 2(1)(a) is not exceeded:
  - (i) first, any individual one or any combination of the British Columbia, Montana, and Saskatchewan transfer path allocations must be reduced as necessary by the applicable **ancillary service** type **interchange transaction** amount in MW;
  - (ii) second, any individual one, or any combination of the British Columbia, Montana, and Saskatchewan transfer path allocations must be reduced as necessary by the applicable energy **interchange transaction** amounts in MW, with the reduction being in reverse **merit order** based on **bid** and **offer** prices; and
  - (iii) third, if there are equally priced British Columbia, Montana and Saskatchewan energy **interchange transactions**, then the British Columbia, Montana and Saskatchewan allocations must be reduced on a pro rata basis using the following formula:

the MW allocation for each of the Montana and British Columbia transfer paths as determined in accordance with subsection 10(2)(c) and the Saskatchewan transfer path allocation under subsection 10(2)(a), as may be reduced under subsections 10(2)(e)(i), and 10(2)(e)(ii);

divided by

the sum in MW referred to in subsection 10(2)(d), as may be reduced under subsections 10(2)(e)(i) and 10(2)(e)(ii);

multiplied by

the amount by which that sum exceeds the **Alberta interchange capability** limit referenced in subsection 2(1)(a);

(3) The **ISO** must, at approximately 85 minutes prior to a **settlement interval**, post on the AESO website:

- (a) the total in MW of all energy import **offers** and export **bids** received for each transfer path and the combinations of transfer paths referenced under subsection 2, at 2 hours prior to the start of the **settlement interval** in accordance with subsection 5(1);
- (b) the limits referenced under subsection 2; and
- (c) all allocations made under this subsection 10.

(4) The **ISO** must, if after 85 minutes prior to a **settlement interval** any of the limits referenced in subsection 2 have decreased, curtail **interchange transactions** in accordance with the



# ISO Rules

## Part 200 Markets

### Division 203 Energy Markets

#### Section 203.6 Available Transfer Capability and Transfer Path Management



procedures and sequence set out in subsection 11.

#### Transfer Path Constraint Management

**11(1)** The **ISO** must curtail **interchange transactions** in accordance with the sequential procedures set out in this subsection 11, if, after carrying out the procedures set out in subsection 10, within 15 minutes prior to the start of the **settlement interval** and based on the **e-tags** submitted under subsection 6 the limits referenced in subsection 2 are still exceeded.

**(2)** The **ISO** must determine the effective **interchange transactions** for mitigating a constraint caused by limits being exceeded at the **Alberta interchange capability** level, the combined Montana and BC transfer path capability level, or at each individual transfer path level.

**(3)** The **ISO** may determine that any **wheel through transaction** is not effective in mitigating a constraint, based on its analysis under subsection 11(2).

**(4)** The **ISO** must comply with the following procedures in the following sequence to mitigate the remaining constraint:

- (a) assess all **interchange transactions** for transmission services against the limits referenced under subsection 2 and allocations made under subsection 10, and determine the **interchange transactions** that will be effective in mitigating the constraint;
- (b) curtail the transmission service of **interchange transactions** under the sequencing set out in subsection 11(4)(c), mitigating the constraint in the following order at the following levels, where effective:
  - (i) an individual transfer path limit level;
  - (ii) the combined Montana and British Columbia transfer path level; or
  - (iii) the **Alberta interchange capability** level; and
- (c) curtail at the effective level:
  - (i) **inadvertent energy** payback **interchange transactions**, prior to the curtailment of any **interchange transactions** on the Saskatchewan transfer path;
  - (ii) transmission services of any effective **interchange transactions** for **ancillary services**;
  - (iii) transmission services of any effective energy **interchange transactions** based on **bid** and **offer** prices in reverse **merit order**; and
  - (iv) transmission services of any effective energy **interchange transactions** on a pro rata basis in accordance with the following formula:  
scheduled amount of each effective **interchange transaction**;  
multiplied by  
total amount necessary to mitigate the constraint;  
divided by

ISO Rules  
Part 200 Markets  
Division 203 Energy Markets  
Section 203.6 Available Transfer Capability  
and Transfer Path Management



total scheduled amount of all effective **interchange transactions**.

**Revision History**

<b>Effective</b>	<b>Description</b>
xxxx-xx-xx	Updated to align with current AESO drafting principles. Replaced outdated ISO rule references with current ISO rules.
2013-08-13	Initial release

# ISO Rules

## Part 200 Markets

### Division 204 Operating Reserves Market

#### Section 204.1 Offers for Dispatch Down Service



#### Applicability

- 1 Section 204.1 applies to:
- (a) a **pool participant**
- when providing **dispatch down service**.

#### Requirements

##### Submission Method and Timing

- 2(1) A **pool participant** may only submit an **offer** for **dispatch down service** in respect to a **source asset** listed opposite their name in the **ISO** list of **pool assets**.
- (2) A **pool participant** submitting an **offer** for **dispatch down service** must submit such **offer**:
- (a) prior to 2 hours before the start of the **settlement interval**; and
  - (b) no earlier than 00:00, 7 **days** prior to the **day** that the **offer** is effective.

##### Option to Offer and Offer Content

- 3(1) A **pool participant** with a **source asset** may submit an **offer** for **dispatch down service**.
- (2) A **pool participant** must include in its **offer** for **dispatch down service**:
- (a) a negative price in \$/MWh to the nearest cent per MWh which is not lower than -\$999.99 and not higher than \$0;
  - (b) a quantity in MW which is not less than 10 MW; and
  - (c) an indication that the **operating block** is a **flexible block**.
- (3) A **pool participant** submitting an **offer** for **dispatch down service** must ensure that the MW does not total more than the **available capability** less the **minimum stable generation** of the **source asset**.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles
2013-01-08	Initial release

# ISO Rules

## Part 200 Markets

### Division 204 Operating Reserves Market

#### Section 204.2 Issuing Dispatches for Dispatch Down Service



#### Applicability

1 Section 204.2 applies to:

- (a) the **ISO**

when procuring **dispatch down service**.

#### Requirements

##### Eligibility

2 The **ISO** must not issue a **dispatch** for **dispatch down service** to a **source asset** if:

- (a) **transmission must-run** is already in use in the area in which the **source asset** is located unless such **transmission must-run** is in use solely for voltage and reactive support;
- (b) the **dispatch** would cause **transmission must-run** to be required in the area in which the **source asset** is located; or
- (c) the **dispatch** would be in an area where one or more **source assets** have been constrained down, meaning they have received **directives** to reduce production to a lower MW output than the **in merit** MW output level.

##### Conditions for Dispatch Down Service

3 The **ISO** must issue a **dispatch** instructing a **source asset** to reduce energy delivery for any **operating block** that is **in merit** if that **source asset** is the subject of an **offer** for **dispatch down service** which is eligible to receive a **dispatch** under subsection 2 and one or both of the following conditions exist:

- (a) with respect to a **dispatch** for the provision of **dispatch down service** that the **ISO** issues in response to **transmission must-run** conditions:
  - (i) the system marginal price is less than or equal to the reference price;
  - (ii) a **source asset** has received a **dispatch** or **directive** for **transmission must-run**; and
  - (iii) the calculation in subsection 5(1) results in a positive number; and
- (b) with respect to a **dispatch** for the provision of **dispatch down service** that the **ISO** issues in response to a **directive** for energy from a **long lead time asset**:
  - (i) a **pool participant** has received a **directive** for energy from a **long lead time asset**;
  - (ii) a **long lead time asset** is delivering its energy in accordance with such **directive**; and
  - (iii) the **ISO** has not issued **dispatches** for all of the **operating blocks** that are **in merit** in the energy market for the current **settlement interval**.

##### Equally-Priced with the Reference Price

4 The **ISO** must, if an **operating block** in an **offer** or **bid** for MW in the energy market is priced equally with the reference price, consider such energy **operating block** to be **in merit** before issuing **dispatches** for **dispatch down service**.

# ISO Rules

## Part 200 Markets

### Division 204 Operating Reserves Market

#### Section 204.2 Issuing Dispatches for Dispatch Down Service



#### MW in Response to a Transmission Must-Run Condition

**5(1)** The ISO must calculate the MW to include in a **dispatch** for the provision of **dispatch down service** that is issued in response to a **transmission must-run** condition as follows:

MW of out of merit energy for **transmission must-run**;

plus

MW of out of merit energy issued a **directive** for energy from a **long lead time asset**;

minus

MW of energy included in a **directive** instructing the **source asset** to reduce energy production.

**(2)** The ISO must not, notwithstanding subsection 5(1), deduct the quantity of energy included in a **directive** instructing a **source asset** to reduce energy production if the system is in a state of **supply surplus**.

#### MW in Response to a Directive for Energy from a Long Lead Time Asset

**6** The ISO must calculate the MW to include in a **dispatch** for the provision of **dispatch down service** that is issued in response to a **directive** for energy from a **long lead time asset** as follows:

MW of out of merit energy issued a **directive** for energy from a **long lead time asset**;

minus

MW in a constrained down **directive**.

#### Issuing Dispatches for Lesser Quantities of Dispatch Down Service

**7** The ISO may, notwithstanding subsections 5 and 6, issue a **dispatch** for **dispatch down service** in a quantity less than the MW determined in such subsections during the following periods:

- (a) the period of time from when the ISO has issued **dispatches** for **operating blocks** with **offer** prices up to the reference price, instructing **source assets** to terminate the provision of **dispatch down service** but prior to issuing **dispatches** for **operating blocks** that are greater than the reference price; and
- (b) the period of time from when the ISO has issued **dispatches** for **operating blocks** with **offer** prices down to the reference price instructing **source assets** to provide **dispatch down service**.

#### Terminating Dispatch Down Service

**8(1)** The ISO must, in the case of a **source asset** that has received a **dispatch** for termination of the provision of **dispatch down service** in response to a **transmission must-run** condition, issue a **dispatch** instructing the **source asset** to deliver energy prior to issuing a **dispatch** for any **operating block** with an **offer** price that is greater than the reference price.

**(2)** The ISO must, in the case of a **source asset** that has received a **dispatch** for termination of the provision of **dispatch down service** in response to a **directive** for energy from a **long lead time asset**, issue a **dispatch** instructing the **source asset** to deliver energy following the issuance of a **dispatch** for the highest priced **operating block** that is **in merit** for the current **settlement interval**.

# ISO Rules

## Part 200 Markets

### Division 204 Operating Reserves Market

#### Section 204.2 Issuing Dispatches for Dispatch Down Service



#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles
2013-01-08	Initial release
2014-03-27	Amended subsection 2(a) and 3(1)(a)(iii) to correct inadvertent errors made during the Transition of Authoritative Document project.

# ISO Rules

## Part 200 Markets

### Division 204 Operating Reserves Market

#### Section 204.3 Dispatch Down Service Restatements



#### Applicability

- 1 Section 204.3 applies to:
  - (a) a **pool participant**when providing **dispatch down service**.

#### Requirements

##### Price Restatements

- 2 A **pool participant** that submits an **offer** for **dispatch down service** may submit a price restatement but must only do so prior to 2 hours before the start of a **settlement interval**.

##### MW Restatements

- 3(1) A **pool participant** that submits an **offer** for **dispatch down service** may submit a MW restatement prior to 2 hours before the start of a **settlement interval**.
- (2) A **pool participant** must, within 2 hours of the start of the **settlement interval** or in the current **settlement interval**, submit a MW restatement as soon as reasonably practicable, if the **source asset** cannot comply with the current **offer** for **dispatch down service** or with a **dispatch** for **dispatch down service** as a result of an **acceptable operational reason**.
- (3) A **pool participant** must submit the reason or reasons for submitting a MW restatement in accordance with subsection 3(2).

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles
2013-01-08	Initial release

### Applicability

- 1 Section 205.1 applies to:
- (a) a **pool participant**; and
  - (b) the **ISO**,

when providing or procuring **operating reserve** in either one or both of the active and standby **operating reserve** markets.

### Requirements

#### Submission Method and Timing

**2(1)** A **pool participant** may only submit an **offer** for **operating reserve** in respect to an active **pool asset** or an approved virtual asset for which they have authority to submit **offers** for **operating reserve**.

**(2)** A **pool participant** must, if it submits an **offer** for **operating reserve**, do so via the electronic trading platform the **ISO** specifies.

**(3)** A **pool participant** must, in order to be paid for **operating reserve**, if it submits an **offer** for an approved virtual asset that is accepted, designate one or more of its **pool assets** to deliver the **operating reserve** associated with the **offer** and do so:

- (a) if the **ISO** is procuring for one **day**, by 11:30 a.m.; or
- (b) if the **ISO** is procuring for multiple **days**, by 1:00 p.m.;

on the **day** the **pool participant** submits such **offer**.

#### Option to Submit an Offer and Offer Content

**3(1)** A **pool participant** may for:

- (a) each **on peak**, **off peak** and **super-peak** period; and
- (b) each of its **pool assets** or approved virtual assets described in subsection 2(1);

submit an **offer** for **operating reserve**.

**(2)** A **pool participant** must include in each **offer** for **operating reserve**:

- (a) for active **operating reserve**, a price in \$/MWh to the nearest cent per MWh which does not exceed the **bid** price of the **ISO** and is a premium or discount to the **pool price**;
- (b) for standby **operating reserve**:
  - (i) a premium price, which must not exceed \$99.00/MWh, being the price at which the **pool participant** is prepared to put the **pool asset** in a position to be able to provide the **operating reserve** capacity; and
  - (ii) an activation price, being a price in \$/MWh to the nearest cent per MWh which is the price at which the **pool participant** is prepared to provide the **operating reserve** capacity;
- (c) a quantity in MW which:
  - (i) in the case of the first **offer** in an **on peak**, **off peak** or **super-peak** period, is a minimum of 5 MW per **pool asset** or approved virtual asset in each **hour ending** and for each type of **operating reserve** service;





- (ii) consists of the same quantity in MW for each **hour ending** in each of the **on peak**, **off peak** and **super-peak** periods;
  - (iii) includes a quantity in MW for each **hour ending** in each **on peak**, **off peak** and **super-peak** period in which they have made an **offer**; and
  - (iv) does not include a quantity in MW the **ISO** has already procured in an earlier **offer**.
  - (d) the type of **operating reserve** service, being **spinning reserve**, **supplemental reserve** for load or for generation, **regulating reserve**, or such other types as the **ISO** allows;
  - (e) whether it is for active or standby **operating reserve**; and
  - (f) whether it is for the **on peak**, **off peak** or, if applicable, **super-peak** period.
- (3)** A **pool participant** must, if it submits an **offer** for a quantity in MW that exceeds the amount the **ISO** qualified the **pool asset** or approved virtual asset to provide, update such **offer** to reflect a quantity in MW that does not exceed the qualified amount and must do so by the timelines set out in subsection 2(3).

#### Alternative Submission Methods

**4** A **pool participant** must:

- (a) notwithstanding any other method or timing requirement in this section 205.1; and
- (b) if there is a problem with the electronic trading platform;

submit an **offer** for **operating reserve** in accordance with the protocol the electronic trading platform establishes or the **ISO** specifies which may include an over-the-counter trading process.

#### Acceptance of Offers

**5** The **ISO** must, to the extent there are sufficient **offers**, procure **operating reserve** for all quantities in MW it requires at the close of the trading session for each type of **operating reserve** by accepting as many of the **offers** that are **in merit** as are required to meet the **ISO**'s forecasted requirements for each type of **operating reserve** service.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles
2014-12-23	Initial release

### Applicability

1 Section 205.3 applies to:

- (a) a **pool participant**,

when providing **operating reserve** pursuant to an **offer** the **ISO** accepts.

### Requirements

#### General

2 A **pool participant** must submit all restatements and substitutions referred to in this Section 205.3 via the Energy Trading System.

#### Restatements for Offers

3(1) A **pool participant** that submits an **offer** for **operating reserve** may only submit a restatement for a quantity higher than the most recent **offer** quantity prior to 30 minutes before the start of the hour.

(2) A **pool participant** that submits an **offer** for **supplemental reserve** or **spinning reserve** may submit a restatement for a quantity lower than the most recent **offer** quantity prior to receiving a **directive** to provide **supplemental reserve** or **spinning reserve**.

(3) A **pool participant** that submits an **offer** for **regulating reserve** may submit a restatement for a quantity lower than the most recent **offer** quantity at any time.

(4) A **pool participant** that submits an **offer** must, as soon as practicable, submit a restatement to represent the operating state of the **pool asset** if:

- (a) the **pool asset** is no longer able to deliver the MW set out in the **offer**; or
- (b) the **pool participant** is not able to meet the requirements set out in Section 205.4 of the **ISO rules**, *Regulating Reserve Technical Requirements and Performance Standards*, Section 205.5 of the **ISO rules**, *Spinning Reserve Technical Requirements and Performance Standards*, or Section 205.6 of the **ISO rules**, *Supplemental Reserve Technical Requirements and Performance Standards*, as applicable.

(5) A **pool participant** that submits a restatement must restate to 0 or to no less than 5 MW for each **pool asset**.

(6) The **ISO** may, if a **pool participant** submits a restatement for a quantity higher than the original **offer** quantity, notwithstanding subsection 3(1) of this Section 205.3 and subsection 2 of Section 205.2 of the **ISO rules**, *Issuing Dispatches and Directives for Operating Reserve*, choose not to issue a **dispatch** for a quantity representing the incremental higher amount.

#### Pool Asset Substitutions

4 A **pool participant** may substitute one or more **pool assets** to provide **operating reserve** for another **pool asset**, if:

- (a) the **ISO** pre-approves the **pool participant** to make such substitutions and enables the Electronic Trading System as required;
- (b) such substitutions are submitted no later than one hour before the start of the delivery hour;



- (c) the **pool participant** is substituting among **pool assets** that the **ISO** has qualified to provide the same type of **operating reserve** pursuant to subsection 4 of Section 205.4 of the **ISO rules**, *Regulating Reserve Technical Requirements and Performance Standards*, subsection 4 of Section 205.5 of the **ISO rules**, *Spinning Reserve Technical Requirements and Performance Standards*, or subsection 4 of Section 205.6 of the **ISO rules**, *Supplemental Reserve Technical Requirements and Performance Standards*; and
- (d) such substitutions result in a minimum of 5 MW of **operating reserve** for each **pool asset**.

**Revision History**

<b>Date</b>	<b>Description</b>
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2018-02-01	Revisions to subsection 4(c) to be technology agnostic; and Administrative revisions.
2014-12-23	Initial release

# ISO Rules

## Part 300 System Reliability and Operations

### Division 304 Routine Operations

#### Section 304.2 Electric Motor Start Requirements



#### Applicability

- 1 Section 304.2 applies to:
  - (a) the **operator** of an industrial complex that is:
    - (i) the Shell Limestone industrial complex; or
    - (ii) the Edson Gas Storage industrial complex;
  - (b) the **operator** of the **transmission facility** that operates **bulk transmission line** 854L from the 39S Bickerdike substation to the 397S Benbow substation;
  - (c) the **operator** of the **transmission facility** that operates 348S Marlboro substation; and
  - (d) the **ISO**.

#### Requirements

##### ISO Approval Prior to Starting an Electric Motor

- 2(1)** The **operator** of an industrial complex must have the prior verbal approval of the **ISO** by means of direct access telephone to start an electric motor at the industrial complex, in accordance with the specific requirements set out in subsections 3 and 4, as applicable.
- (2)** The **operator** of an industrial complex must report to the **ISO** by means of direct access telephone when an attempt to start the electric motor has been completed, whether successful or not.
- (3)** The **ISO** must notify the **operator** of the **transmission facility** in the regional area of the industrial complex that there has been a request to start up the electric motor, and confirm that the **operator** of the **transmission facility** is not aware of any **reliability** reason to not start the electric motor.
- (4)** The **ISO** must grant approval to start the electric motor unless the **ISO** has **reliability** concerns that would prevent the electric motor start.

##### Shell Limestone Electric Motor Start

- 3(1)** The **operator** must, if the **ISO** receives a request from the **operator** of an industrial complex that is the Shell Limestone industrial complex to start the 18,000 hp electric motor located at that industrial complex, provide the anticipated date and time of the start of the electric motor and make the verbal request to the **ISO** at least 1 hour prior to that start.
- (2)** The **operator** must provide all affected direct connect **market participants**, served from the 581S Amoco Ricinus substation and which the **ISO** indicates, with at least 1 hour notice by telephone prior to the starting of the electric motor, indicating the expected time of start and that there may be a short dip in their utility voltage due to the electric motor start.

##### Edson Gas Storage Electric Motor Start

- 4(1)** The **operator** of the 348S Marlboro substation located in the Hinton/Edson Area must request approval from the **ISO** before restarting any of the compressor electric motors if that industrial complex experiences an outage or derate resulting in any of the 5,000 hp electric motor-driven compressors at the Edson Gas Storage industrial complex shutting down.
- (2)** The **operator** of the **transmission facility** must sectionalize the appropriate section of **bulk transmission line** 854L to allow radial supply to the 348S Marlboro substation from either the 39S Bickerdike substation or the 397S Benbow substation depending on the location of the permanent fault if an outage or derate is in the nature of a permanent fault.

ISO Rules  
Part 300 System Reliability and Operations  
Division 304 Routine Operations  
Section 304.2 Electric Motor Start Requirements



**Revision History**

<b>Date</b>	<b>Description</b>
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2020-09-16	Removed requirements for Empress Area. Moved content in Appendix 1 to subsections 3 and 4; removed conditions of approval examples; removed Appendix 1 and references to Appendix 1. Administrative amendments.
2014-07-02	Amended subsections 4(1), 4(2) and 5(1) of Appendix 1 by unbolding the references to “outages” and adding the words “or derate” after the word “outages”
2012-05-31	Initial release

# ISO Rules

## Part 300 System Reliability and Operations

### Division 304 Routine Operations

#### Section 304.6 Unplanned Transmission Facility Limit Changes



#### Applicability

- 1 Section 304.6 applies to:
  - (a) the **operator** of a **transmission facility**.

#### Requirements

##### Unplanned Transmission Facility Limit Changes

**2(1)** The **operator** of a **transmission facility** must verbally notify the **ISO** as soon as possible, but within 24 hours, of unplanned limit changes to its **transmission facility**, indicating the new limit, the equipment affected by the limit change, the cause of the limit change and the estimated period of time the limit change will be in effect.

**(2)** The **operator** of a **transmission facility** must, within 21 **days** of the verbal notification in subsection 2(1), or within a shorter or longer period of time if deemed necessary by the **ISO** in its sole discretion:

- (a) provide the **ISO**, in writing, with its plan to restore the **transmission facility** to its previous limit; or
- (b) notify the **ISO** that the **transmission facility** will not be restored to its previous limit.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2016-07-26	Initial release

# ISO Rules

## Part 300 System Reliability and Operations

### Division 304 Routine Operations

#### Section 304.9 Wind and Solar Aggregated Generating Facility Forecasting



#### Applicability

- 1 Section 304.9 applies to:
  - (a) the **legal owner** of a wind or solar **aggregated generating facility** connected to the **interconnected electric system** or an electric system within the service area of the City of Medicine Hat, including a wind or solar **aggregated generating facility** situated within an industrial complex that is directly connected to the **interconnected electric system** or to an electric system within the service area of the City of Medicine Hat and that has a **gross real power** capability equal to or greater than 5 MW; and
  - (b) the **ISO**.

#### Requirements

#### Functional Specification

2 The **ISO** must, in accordance and generally consistent with this Section 304.9, approve a written functional specification containing details, work requirements, and specifications for the design, construction, and operation of an **aggregated generating facility** and associated **transmission facility** connection facilities.

#### Successor to Prior Requirements and Compliance Timeframe

3(1) The provisions of this Section 304.9 succeed all previous forecasting requirements for **aggregated generating facilities**, whether in an **ISO rule** or other document, and those requirements will no longer be in force and effect as of September 1, 2018.

#### Meteorological Data Collection Equipment and Availability Requirements

4(1) The **legal owner** of a wind or solar **aggregated generating facility** must ensure that the facility is equipped with meteorological data collection equipment and related devices that are installed and maintained in accordance with the provisions of subsections 4 and 5.

(2) The **legal owner** of a wind **aggregated generating facility** must ensure that it is equipped with one set of instruments for each meteorological parameter in accordance with the requirements in Table 1.

(3) The **legal owner** of a solar **aggregated generating facility** must ensure that the facility is equipped with meteorological data collection equipment and related devices in accordance with the following:

- (a) one (1) set of instruments for each meteorological parameter in accordance with the requirements in Table 1 per 49 square kilometers of surface area within the facility;
- (b) each set of instruments, if required by subsection 4(3)(a), must be less than 8 kilometers apart; and
- (c) measurements must be taken at not less than 2 meters and not greater than 10 meters above ground.

(4) The **legal owner** of a wind or solar **aggregated generating facility** must ensure that the meteorological data collection equipment and related devices described in subsections 4(2) and 4(3) take measurements of instantaneous values at interval of 15 **seconds** or less.

(5) The **legal owner** of a wind or solar **aggregated generating facility** must measure, collect and submit to the **ISO** the meteorological data in Table 1.

# ISO Rules

## Part 300 System Reliability and Operations

### Division 304 Routine Operations

#### Section 304.9 Wind and Solar Aggregated Generating Facility Forecasting



- (6) The **legal owner** of a wind or solar **aggregated generating facility** must determine, at 30 minute intervals, and submit to the **ISO**, the **gross real power capability** with a precision to the nearest 2.0 MW.
- (7) The **legal owner** of a wind or solar **aggregated generating facility** must determine and submit to the **ISO**, the following data:
- (a) any real power limits in megawatts (MW), with a precision for instantaneous measurements to the nearest 0.1 MW; and
  - (b) actual net to grid real power production in megawatts (MW), with a precision for instantaneous measurements to the nearest 0.1 MW.

#### Data Transfer Technical Specification

- 5(1)** The **legal owner** of a wind or solar **aggregated generating facility** must submit to the **ISO** the data specified in subsection 4(5) using one **minute** average data.
- (2) The **legal owner** of a wind or solar **aggregated generating facility** must submit to the **ISO** the data specified in subsection 4 in the method and format the **ISO** specifies.
- (3) The **legal owner** of a wind or solar **aggregated generating facility** must ensure that its meteorological data collection equipment and related devices including its data transfer equipment is designed and maintained with an availability of 98.0% in accordance with Table 1 and a mean time to repair of forty-eight (48) hours or less.
- (4) The **legal owner** of a wind or solar **aggregated generating facilities** must keep seven (7) **days** of back up data for any data that has been submitted in accordance with this subsection 5 and must provide it to the **ISO** upon request within thirty (30) **days**.

#### Notification of Unavailability, Suspected Failure or Data Error

- 6(1)** The **legal owner** of a wind or solar **aggregated generating facility** must, if any component in the meteorological data collection equipment and related devices including data transfer equipment becomes unavailable due to an unplanned event, is suspected to have failed, or to be providing erroneous data, notify the **ISO** as soon as practicable, in writing, after identifying the unavailability, suspected failure or data error.
- (2) The **legal owner** of a wind or solar **aggregated generating facility** must provide the **ISO** as soon as practicable, in writing:
- (a) a description of the cause of any unavailability, suspected failure or data error reported pursuant to subsection 6(1);
  - (b) in the event of an equipment failure, a plan acceptable to the **ISO** to repair the failed equipment, including testing; and
  - (c) in the event of an equipment failure, the expected date when the equipment will be repaired and the required measurements will be restored.
- (3) The **legal owner** of a wind or solar **aggregated generating facility** must, if an equipment failure described in subsection 6(2) is not repaired and required measurements are not restored by the expected date, notify the **ISO** as soon as practicable, in writing, of the revised date and the reason the component in the equipment was not repaired by the expected date.
- (4) The **legal owner** of a wind or solar **aggregated generating facility** must notify the **ISO** as soon as practicable in writing after an equipment failure described in subsection 6(2) is repaired and the required measurements are restored.



# ISO Rules

## Part 300 System Reliability and Operations

### Division 304 Routine Operations

#### Section 304.9 Wind and Solar Aggregated Generating Facility Forecasting



#### Exceptions

**7** Notwithstanding subsections 4 and 5, the **legal owner** of a wind or solar **aggregated generating facility** is not required to comply with the requirements of this Section 304.9 relating to meteorological data collection equipment and related devices including data transfer equipment when:

- (a) such equipment is being repaired or replaced in accordance with a plan acceptable to the **ISO** under subsection 6; and
- (b) the **legal owner** is using reasonable efforts to complete such repair or replacement in accordance with that plan.

#### Pre-Commissioning Facility Data and Records Requirements

**8(1)** The **legal owner** of a wind **aggregated generating facility** must provide to the **ISO** the pre-commissioning data and records referred to in this subsection 8 in a method and format the **ISO** specifies.

**(2)** The **legal owner** of a solar **aggregated generating facility** must provide to the **ISO**, in a method and format the **ISO** specifies, either:

- (a) the pre-commissioning data and records referred to in this subsection 8; or
- (b) an industry standard model that is approved by the **ISO**.

**(3)** Subject to the provisions of this subsection 8, the **legal owner** of a wind or solar **aggregated generating facility** must retain and provide within sixty (60) **days** of the **ISO's** written request the following averaged meteorological data and records at ten (10) minute intervals or less, covering the two (2) calendar years prior to the **commissioning** of the wind or solar **aggregated generating facility**:

- (a) details on the height of the measurements;
- (b) wind speed;
- (c) wind direction;
- (d) temperature;
- (e) barometric pressure; and
- (f) for solar **aggregated generating facilities** only, global horizontal irradiance.

**(4)** The **legal owner** of a wind **aggregated generating facility** must, in response to a request by the **ISO** under subsection 8(3), provide the following facility data:

- (a) meteorological tower data collection height in meters (m), with a precision for instantaneous measurements to the nearest 1 m;
- (b) turbine model name;
- (c) turbine model capacity in megawatts (MW), with a precision to the nearest 0.1 MW;
- (d) turbine wind speed cut-in in meters per second (m/s), with a precision to the nearest 0.1 m/s;
- (e) turbine wind speed cut-out in meters per second (m/s), with a precision to the nearest 0.1 m/s;
- (f) turbine temperature cut-out lower in degrees Celsius (°C), with a precision for instantaneous measurements to the nearest 1 °C and an indicator is required to confirm that the numbers are ambient temperature within the rotor or air temperature;

# ISO Rules

## Part 300 System Reliability and Operations

### Division 304 Routine Operations

#### Section 304.9 Wind and Solar Aggregated Generating Facility Forecasting



- (g) turbine temperature cut-out upper in degrees Celsius (°C), with a precision for instantaneous measurements to the nearest 1 °C and an indicator is required to confirm that the numbers are ambient temperature within the rotor or air temperature;
- (h) site latitude and longitude in degrees; and
- (i) turbine power curves.

**(5)** The **legal owner** of a solar **aggregated generating facility** must in response to a request by the **ISO** under subsection 8(3), provide the following solar array data and records, including:

- (a) site latitude and longitude in degrees;
- (b) direct current (DC) **real power** rating;
- (c) alternating current (AC) **real power** rating;
- (d) inverter manufacturer and model;
- (e) mounting height from ground in meters (m);
- (f) tilt angle or range of tilt angles to horizontal plane in degrees;
- (g) azimuth angle in degrees;
- (h) alternating current (AC) **real power** capacity per **solar array** in megawatts (MW);
- (i) mounting type, tracking (fixed, single or dual axis); and
- (j) module type (crystalline, thin-film etc.).

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2019-12-11	“Removed duplication with new Section 103.14, Waivers and Variances; standardized functional specifications language; capitalized references to “Section”.”
2018-09-01	Initial release.

ISO Rules  
 Part 300 System Reliability and Operations  
 Division 304 Routine Operations  
 Section 304.9 Wind and Solar Aggregated  
 Generating Facility Forecasting



**Table 1**  
**Wind and Solar Aggregated Generating Facility Meteorological Data Requirements**

Wind Aggregated Generating Facility Meteorological Data Requirements						
Measurement Type	Units	Precision	Range	Accuracy	Height of Instrument	
					Set-1	Set-2
Wind Speed	Meters/Second (m/s)	0.1 m/s	0 to 50	±1m/s	At Hub Height	At 35 Meters
Wind Direction	Degrees from True North	1 degree	0 to 360	±5°	At Hub Height	At 35 Meters
Barometric Pressure	HectoPascals (hPa)	1 hPa	800 to 1000	±1.0 hPa at -20 to 50°C; and ±1.5 hPa at below -20°C	At Convenient location	At Convenient location
Ambient Temperature	Degree Celsius (°C)	0.1° C	-50 to +50	±0.2°C	At Hub Height	At 35 Meters
Dewpoint	Degrees Celsius (°C)	0.1° C	-50 to +50	±0.2°C	At Convenient location	At Convenient location
Relative Humidity	Percentage (%)	1.00%	0 to 100 %	±2%	At Convenient location	At Convenient location
Ice-up Parameter Measured with an Icing Sensor	Scale 0.0 to 1.0	0.1	0 to 1	n/a	At Convenient location	At Convenient location
Precipitation	Millimeters/minute (mm/min)	0.1	0 to 11	2% up to 0.417 mm/mon 3% over 0.417 mm/min	At Convenient location	At Convenient location
Solar Aggregated Generating Facility Meteorological Data Requirements						
Measurement Type	Units	Precision	Range	Accuracy	Height of Instrument	
					Set-1 per 49 km <sup>2</sup>	Set-2 for each subsequent 49 km <sup>2</sup>
Wind Speed	Meters/Second (m/s)	0.1 m/s	0 to 50	±1m/s	Between 2-10 meters	Between 2-10 meters
Wind Direction	Degrees from True North	1 degree	0 to 360	±5°	Between 2-10 meters	Between 2-10 meters
Barometric Pressure	HectoPascals (hPa)	1 hPa	800 to 1000	±1.0 hPa at -20 to 50°C; and ±1.5 hPa at below -20°C	Between 2-10 meters	Between 2-10 meters

# ISO Rules

## Part 300 System Reliability and Operations

### Division 304 Routine Operations

#### Section 304.9 Wind and Solar Aggregated Generating Facility Forecasting



Ambient Temperature	Degree Celsius (°C)	0.1° C	-50 to +50	±0.2°C	Between 2-10 meters	Between 2-10 meters
Dewpoint	Degrees Celsius (°C)	0.1° C	-50 to +50	±0.2°C	Between 2-10 meters	Between 2-10 meters
Relative Humidity	Percentage (%)	1.00%	0 to 100 %	±2%	Between 2-10 meters	Between 2-10 meters
Precipitation	Millimeters/minute (mm/min)	0.1	0 to 11	2% up to 0.417 mm/mon 3% over 0.417 mm/min	Between 2-10 meters	Between 2-10 meters
Back panel Temperature	Degree Celsius (°C)	0.1° C	-50 to +50	±0.15°C at -27 to +50°C; and ±0.2°C at below -27°C	Between 2-10 meters	Between 2-10 meters
Global Horizontal Irradiance	Watts/Square Meter (W/m <sup>2</sup> )	0.1	0 to 4000	±3%	Between 2-10 meters	Between 2-10 meters
Diffused Horizontal Irradiance	Watts/Square Meter (W/m <sup>2</sup> )	0.1	0 to 4000	±3%	Between 2-10 meters	Between 2-10 meters
Direct Normal Irradiance <sup>1</sup>	Watts/Square Meter (W/m <sup>2</sup> )	0.1	0 to 2000	±3%	Between 2-10 meters	Between 2-10 meters

<sup>1</sup> The requirement to provide this parameter will be determined by the AESO based on solar technology used in the project.

# ISO Rules

## Part 300 System Reliability and Operations

### Division 305 Contingency and Emergency

#### Section 305.1 Energy Emergency Alerts



#### Applicability

- 1 Section 305.1 applies to:
  - (a) a **market participant**; and
  - (b) the **ISO**.

#### Requirements

#### Communications

- 2(1)** The **ISO** must communicate to **market participants** the declaration, modification or termination of an Energy Emergency Alert.
- (2)** A **market participant** must verbally notify the **ISO** of any work that increases the risk of tripping a **generating unit**, an **aggregated generating facility** or an **intertie**, or of constraining generation.

#### Revision History

Effective	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2022-01-01	Amended to remove requirements related to the description of Energy Emergency Alerts as those descriptions were moved to reliability standard EOP-011-AB-1, <i>Emergency Operations</i> .
2014-01-01	Amended to remove reference to the WECC Reliability Coordinator, clarify Energy Emergency Alert 0 declarations and incidental amendments.
2012-10-31	Initial release

# ISO Rules

## Part 300 System Reliability and Operations

### Division 305 Contingency and Emergency

#### Section 305.4 System Security



#### Applicability

- 1 Section 305.4 applies to:
  - (a) a **market participant**; and
  - (b) the **ISO**.

#### Requirements

#### ISO Responsibilities

- 2(1) The **ISO** must schedule to prevent a threat to **system security**.
- (2) The **ISO** may schedule out of the **merit order** to prevent a threat to **system security**.
- (3) The **ISO** must issue **dispatches** in a manner to prevent a threat to **system security**.
- (4) The **ISO** may issue **dispatches** out of the **merit order** to prevent a threat to **system security** or to return the **interconnected electric system** to a safe and reliable state.
- (5) The **ISO** must issue **directives** to prevent a threat to **system security** or to return the **interconnected electric system** to a safe and reliable state.
- (6) The **ISO** must, when there is a system emergency, use reasonable efforts to promptly notify:
  - (a) affected **legal owners** of a **transmission facility**; and
  - (b) all **pool participants**.

#### Market Participant Responsibilities

- 3 A **market participant** must use reasonable efforts to promptly notify the **ISO** upon becoming aware of any circumstance with respect to its facilities that could be expected to adversely affect **system security** or the **interconnected electric system's** ability to deliver energy.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2020-09-16	Un-bold "system emergency".
2012-10-31	Initial release

# ISO Rules

## Part 500 Facilities

### Division 504 Legal Owners of Transmission Facilities and Load Facilities

#### Section 504.5 Service Proposals and Cost Estimating



#### Applicability

- 1 Section 504.5 applies to:
  - (a) the **legal owner** of a **transmission facility**, except where the **person** that is eligible to apply for the construction and operation of the **transmission facility** is determined by a competitive process developed by the **ISO** in accordance with the **Act**; and
  - (b) the **ISO**.

#### Requirements

##### Service Proposal

- 2 The **legal owner** of a **transmission facility** must, when it receives a written request from the **ISO** to provide a **service proposal**, provide the **service proposal** within the time specified in the request, or within an alternative timeframe agreed to by the **ISO**.

##### Cost Estimate

- 3 The **ISO** may provide a written request for information to the **legal owner** of a **transmission facility** regarding the preparation of a **cost estimate** or revised **cost estimate** in a specified **accuracy range** for a **transmission facility** project as follows:
    - (a) a **needs identification document estimate**; or
    - (b) a **service proposal estimate**.
  - 4 The **legal owner** of a **transmission facility** must, when it receives a written request for information from the **ISO** under subsection 3, provide a written response to the **ISO** within 15 **business days** or within an alternative time frame agreed to by the **ISO**, including:
    - (a) an estimate of the time required to prepare the **cost estimate** or revised **cost estimate**;
    - (b) an estimate of the expense required to prepare the **cost estimate** or revised **cost estimate**;
    - (c) where the **legal owner** of a **transmission facility** cannot provide the **ISO** with a **cost estimate** or a revised **cost estimate** within the **accuracy range** specified in the **ISO**'s request:
      - (i) an indication of the **accuracy range** in which the **cost estimate** can be provided; and
      - (ii) a description of the reason why the **cost estimate** can be provided within this alternate **accuracy range** but not within the **accuracy range** specified in the **ISO**'s request.
- 5(1)** The **ISO** may, upon receiving the information described in subsection 4, make a written request that the **legal owner** of a **transmission facility** provide a **cost estimate** or revised **cost estimate** within a specified time period.
- (2)** The **legal owner** of a **transmission facility** must provide the **ISO** with a **cost estimate** or revised **cost estimate** requested in accordance with subsection 5(1) within the time period specified by the **ISO**, including:

# ISO Rules

## Part 500 Facilities

### Division 504 Legal Owners of Transmission Facilities and Load Facilities

#### Section 504.5 Service Proposals and Cost Estimating



- (a) the assumptions used in preparing the **cost estimate**;
- (b) the period of time for which the **cost estimate** is valid; and
- (c) any proposed capital maintenance costs included within any **Commission** approval.

**(3)** The **ISO** must, when making a written request under subsection 5(1), provide the **legal owner** of a **transmission facility** with the information that the **legal owner** reasonably requires in order to prepare the **cost estimate**.

**6** The most recent **service proposal estimate** provided in accordance with subsection 5 will be considered the **original budget** for the **transmission facility** project.

#### Post Permit and License Estimate

**7(1)** The **legal owner** of a **transmission facility** that provides a **cost estimate** to the **ISO** in accordance with subsection 5 must provide a **post permit and license estimate** for a **transmission facility** project to the **ISO** within one hundred and 180 **days** from the date that the **Commission** has issued all permits and granted all licences for the facilities associated with the **transmission facility** project in accordance with the *Hydro and Electric Energy Regulation*, unless the **ISO** otherwise authorizes in writing.

**(2)** The **ISO** may make a written request that a **post permit and license estimate** referenced in subsection 7(1) be provided in a specific **accuracy range**.

**(3)** The **legal owner** of a **transmission facility** must, when it receives a request from the **ISO** in accordance with subsection 7(2), provide the **post permit and licence estimate** in the **accuracy range** specified in the request.

**(4)** Notwithstanding subsection 7(1), where the **final energization** date of all facilities included in a **service proposal** for a single **transmission facility** project is less than 180 **days** after permit and license are granted, the **legal owner** of a **transmission facility** is not required to provide a **post permit and license estimate** to the **ISO**.

#### Final Cost Estimate

**8(1)** The **legal owner** of a **transmission facility** that provides a **cost estimate** to the **ISO** in accordance with subsection 5 must provide the **ISO** with a **final cost estimate** no later than 90**days** after **final energization** of all facilities included in a **service proposal** for a **transmission facility** project, unless the **ISO** agrees otherwise in writing.

**(2)** The **ISO** may make a written request that a **final cost estimate** referenced in subsection 8(1) be provided in a specific **accuracy range**.

**(3)** The **legal owner** of a **transmission facility** must, when it receives a request from the **ISO** in accordance with subsection 8(2), provide the **final cost estimate** in the **accuracy range** specified in the request.

#### Preparation of Cost Estimates and Provision of Further Information

**9(1)** The **legal owner** of a **transmission facility** must ensure that any **cost estimate** provided in accordance with this section 504.5 of the **ISO rules** is accurate, complete and in an appropriate level of



# ISO Rules

## Part 500 Facilities

### Division 504 Legal Owners of Transmission Facilities and Load Facilities

#### Section 504.5 Service Proposals and Cost Estimating



detail.

(2) The **ISO** may make a written request that the **legal owner** of a **transmission facility** provide additional information relating to a **cost estimate** provided in accordance with this section of the **ISO rules** within a specified time period.

(3) The **legal owner** of a **transmission facility** must provide the **ISO** with the additional information requested under subsection 9(2) within the time period specified by the **ISO**, unless the **ISO** agrees otherwise in writing.

#### Final Cost Report

10 The **legal owner** of a **transmission facility** that provides a **final cost estimate** to the **ISO** in accordance with subsection 8 must, as soon as practicable and no later than 180 **days** after the **final energization** of all facilities included in the **service proposal** for a **transmission facility** project, provide an accurate and complete **final cost report** for the **transmission facility** project in the same level of detail as the **final cost estimate**, unless the **ISO** agrees otherwise in writing.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2016-04-29	Initial release.

# ISO Rules

## Part 500 Facilities

### Division 507 Industrial System Designations

#### Section 507.1 Open Access Requirements for Proposed Interties



#### Applicability

**1** Section 507.1 applies to:

(a) a **person** proposing an **intertie** be:

(i) constructed; or

(ii) upgraded or enhanced in a manner that would result in an increase to the path rating of the **intertie**.

#### Requirements

##### Open and Non-Discriminatory Manner

**2(1)** A **person** proposing an **intertie** must provide open access to **market participants** and provide that the **intertie** be available in an open and non-discriminatory manner, similar to the access available to other **transmission facilities**.

**(2)** A **person** proposing an **intertie** must, as part of the open and non-discriminatory manner required in subsection 2(1):

(a) provide public notice which must, at a minimum:

(i) indicate the **person's** intention to provide access to the **intertie** by way of an open and non-discriminatory process; and

(ii) be inserted in major newspapers in Alberta and in jurisdictions outside Alberta in which the **intertie** is planned to be located, in the section of each such newspaper where such a notice would reasonably be expected to appear;

(b) include conducting public information sessions in Alberta and in jurisdictions outside Alberta in which the **intertie** is planned to be located; and

(c) make its terms and conditions of access publicly available.

##### Sale of Intertie Capacity

**3(1)** A **person** proposing an **intertie** may only sell, or otherwise make available, **intertie** capacity in accordance with an open and non-discriminatory process, including **intertie** capacity that was not sold in the initial process.

**(2)** The **person** proposing an **intertie** must make publicly available:

(a) the names of **persons** that have acquired **intertie** capacity; and

(b) the amount of **intertie** capacity each has acquired; and

must do so within 1 **month** of such acquisition.

##### Affiliates

**4** If an **affiliate** of a **person** proposing an **intertie** participates in the open and non-discriminatory process identified in subsection 3, the **person** proposing an **intertie** must:

(a) make public that participation;

(b) confirm that the **affiliate** was not provided any advantage in such process over other

# ISO Rules

## Part 500 Facilities

### Division 507 Industrial System Designations

#### Section 507.1 Open Access Requirements for Proposed Interties



interested parties; and  
must do so within 1 **month** of such participation.

#### Terms and Conditions

**5** A **person** proposing an **intertie** must include in the terms and conditions it files pursuant to subsection 27(5)(a) of the *Transmission Regulation*, provisions to prevent capacity withholding and other anti-competitive behavior.

#### Records

**6** A **person** proposing an **intertie** must maintain its books and records at least to the extent reasonably necessary to verify compliance with this Section 507.1 and must make those records available to the **ISO** upon reasonable prior notice.

#### Revision History

Date	Description
xxxx-xx-xx	Updated to align with current AESO drafting principles.
2020-09-16	Administrative amendments.
2012-11-16	Initial Release