

Alberta Reliability Standards Registration Guide

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1 Introduction

1.0 BACKGROUND

This document is intended for use by the AESO in carrying out its compliance monitoring mandate under Section 23 of the *Transmission Regulation*. It addresses the responsibilities of market participants and the AESO regarding the process of identifying the relationships between market participants and their functional roles with material impact on reliability of the Alberta Interconnected Electric System (AIES). For the market participants, this Registration Guide provides a detailed description of how the reliability standards registration process is carried out in Alberta, and what actions are required by market participants to prepare and respond to related requests.

The original version of this document was developed with input from industry stakeholders through the AESO Reliability Committee – Compliance Working Group. It is a guide only and not an ISO rule, and may be revised as considered necessary by the AESO.

1.1 PURPOSE OF THIS GUIDE

The purpose of this guide is to inform market participants of the procedures and guidelines related to the registration process.

1.2 APPLICABILITY

This document applies to market participants with material impact on reliability of the AIES.

2 About this Guide

2.0 SECTIONS

This guide is divided into 5 sections:

Section 1: Introduction

Provides the background, purpose and applicability of this document.

Section 2: About this Guide (this section)

Provides information on how to use this document.

Section 3: Procedures

Provides information on what the market participant needs to do to register their functional entity types for Alberta reliability standards compliance. Subsections cover:

3.0 Registration Process Overview

3.1 Registration

3.2 Applicability Assessment

3.3 Dispute Resolution

3.4 Registry

Section 4: Guidelines

Provides information on the guidelines used to create the registration process.

Section 5: Related Documents and Revision History

Provides links to documents referenced in this document and the revision history.

2.1 NAVIGATING THE ELECTRONIC VERSION

The electronic version of this guide contains useful navigation tools that can be used to find pertinent information without searching through each section.

Table of contents

The table of contents shown prior to section 1 can be used as a means of navigating to any section or subsection in the guide.

To jump to a section or subsection, simply click on any line item in the table of contents.

Underlined text

Text that is underlined in blue is used to indicate a link to related topics within the guide or to documents on the internet.

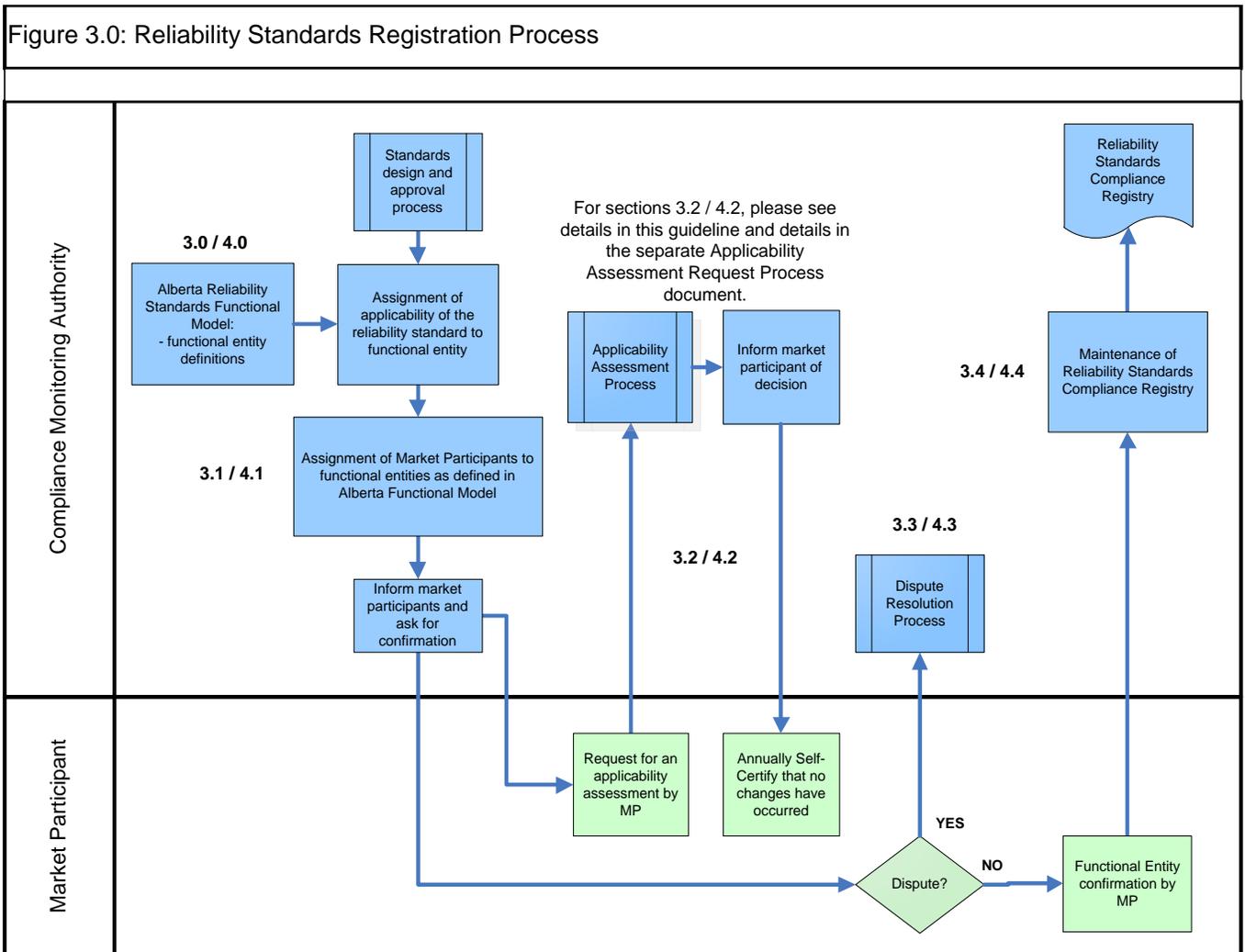
To use the link, click on the underlined text.

3 Procedures

The purpose of this section is to give registered market participants information on the procedures related to Alberta reliability standards registration. Guidelines related to the procedures are described in section 4.

3.0 REGISTRATION PROCESS OVERVIEW

The process map below describes the registration process used by the compliance monitor to identify market participants and how they may request an applicability assessment where permitted in a reliability standard. The numbers on the diagram refer to sections within this guide.



Procedures:**1. Locate the functional model definitions**

The *Alberta Reliability Standards Functional Model and Criteria for Registration* document lists the definitions of applicable functional entities used in approved reliability standards. This document can be found on the AESO's website under: Rules, Standards and Tariff > Compliance > Alberta Reliability Standards compliance > Registration. To view the document, click [here](#) and then click on the document.

3.1 REGISTRATION

All market participants that meet the criteria found in the *Alberta Reliability Standards Functional Model and Criteria for Registration* should be registered with the compliance monitor.

Procedures:**1. Register with the compliance monitor**

- a. Initial (Roll-out) registration stage: The compliance monitor assigns market participants to functional entities as defined in the *Alberta Reliability Standards Functional Model and Criteria for Registration* document. Once the compliance monitor communicates the initial assignment, the market participant should confirm their affiliation with particular functional entities within 30 days of the request.
- b. Market participants not initially assigned to functional entities due to lack of information will be requested to register for their functional affiliation through submission of the *Alberta Reliability Standards Registration Form*. The form may be obtained on the AESO website under: Rules, Standards and Tariff > Compliance > Alberta Reliability Standards compliance > Registration. To download the form, click [here](#) and then click on the registration form.
- c. Annual confirmation: Market participants confirm their registered functional entity types during the annual self-certification cycle.

2. Inform the compliance monitor of any changes

A registered market participant should register any changes in their functional entity types as soon as reasonably possible, but not later than the next annual self-certification cycle. To register a change, the market participant should obtain a registration form, fill it out and send it to rscompliance@aeso.ca. The form may be obtained on the AESO website under: Rules, Standards and Tariff > Compliance > Alberta Reliability Standards compliance > Registration. To download the form, click [here](#) and then click on the registration form.

3.2 APPLICABILITY ASSESSMENT

Even though a market participant is assigned particular functional entity type(s), a market participant may self-assess that certain requirements within the standard are not applicable. This self-assessment is based on the language within the applicability section of each standard; however, if the language in the applicability section of a standard is not sufficiently clear for the market participant to self-assess applicability, the market participant may request an applicability assessment.

Procedures:

1. Understand how applicability is assigned to standards

Applicability of reliability standards to functional entity types are assigned by the AESO during the reliability standards adoption process. Applicability is shown in the applicability section of each standard which may also include a description of possible conditions further narrowing applicability.

2. Submit an applicability assessment form, if required

A market participant may review the applicability section of the standard and determine whether they should self-assess or submit an applicability assessment request:

- a. If the market participant determines that the wording in the applicability section of the standard is sufficiently clear to conclude that the standard or requirement does not apply to their situation, they can indicate this self-assessment by selecting “Not Applicable – Self-Assessed” on their annual self-certification letter submission. The market participant should keep any supporting evidence or documentation of their reasoning for submission if requested.
- b. If the market participant determines that the wording in the applicability section of the standard is not sufficiently clear to conclude if the standard or requirement applies to their situation, they can obtain an applicability assessment form pertaining to a particular standard from the AESO website under: Rules, Standards and Tariff > Compliance > Alberta Reliability Standards compliance > Applicability assessments. To download a form, click [here](#), select the appropriate reliability standard category and then click on the applicability assessment form relevant to the request. Fill-out the form and submit it to rscompliance@aeso.ca.

If the market participant chooses to submit applicability assessment request:

- a. The compliance monitor will review and provide a written decision on the request.
- b. If the market participant does not agree with the decision, they may re-submit the request form with additional documentation to support their reasoning.
- c. The compliance monitor will review the additional information and provide a final decision on the market participant’s request.
- d. If the market participant does not agree with the final decision, they may initiate a dispute resolution under ISO Rule 103.2 (see section 3.3 of this guide).

3.3 DISPUTE RESOLUTION

Disputes related to the registration process will be subject to a process defined within ISO Rule 103.2. The process will be applied to resolve disputes concerning the assignment of market participants to the Alberta reliability standards functional model.

Procedures:

1. Locate ISO Rule 103.2 on dispute resolution

ISO Rule 103.2 defines the dispute resolution process. This document can be found on the AESO’s website under: Rules, Standards and Tariff > Compliance > ISO rules. To obtain a copy of the rule, click [here](#) and then click on the “Section 103.2 Dispute Resolution” document.

3.4 REGISTRY

The compliance monitor will develop and maintain the *Alberta Reliability Standards Registry* that captures the relationship between market participants and functional entities.

Procedures:

1. Locate and obtain a copy the registry

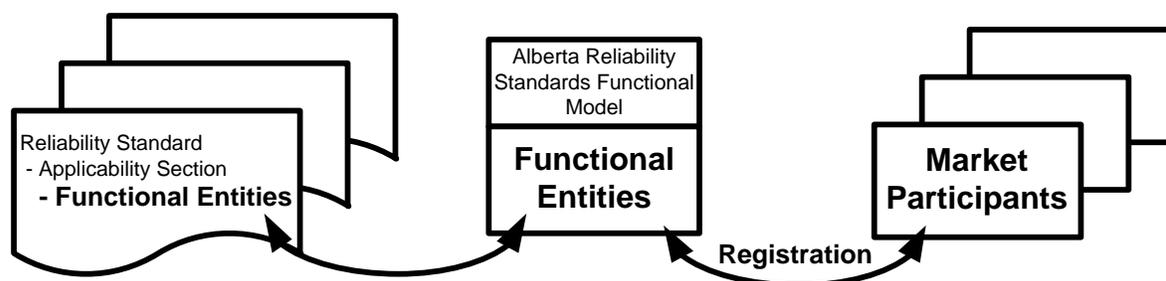
The *Alberta Reliability Standards Registry* can be found on the AESO website under: Rules, Standards and Tariff > Compliance > Alberta Reliability Standards compliance > Registration. To obtain a copy of the registry, click [here](#) then select Registration and click on the “Registry”.

4 Guidelines

The purpose of this section is to provide registered market participants with information on the guidelines related to registration. Procedures related to the guidelines are described in section 3.

4.0 REGISTRATION PROCESS OVERVIEW

The AESO is mandated to carry out its compliance monitoring function. In order to do so effectively it must work with stakeholders to clearly identify market participants with material impact on the reliability of the AIES. As a result of this process market participants will understand which reliability standards are applicable to their function. The relationship between reliability standards and market participants is derived through registration of market participants for functional entities as defined in the *Alberta Reliability Standards Functional Model and Criteria for Registration* document. The following pictogram shows this relationship.



1. Market participants must understand the specific requirements of reliability standards with which they are expected to comply in order to demonstrate to the compliance monitor that they are in compliance with the reliability standards.

The objective of this registration process is to provide:

- a. A single reliability standards registry that documents the relationship between market participants and functional entities.
 - b. Market participants with the awareness and information to proactively prepare for compliance with applicable reliability standards.
 - c. Market participants with a fair process for requesting applicability assessments.
 - d. A means for market participants to formally disagree with decisions in the process.
 - e. The compliance monitor with the information it needs to carry out compliance monitoring, including scheduling and coordination of compliance monitoring activities.
2. The compliance monitor will maintain and post on its website the *Alberta Reliability Standards Functional Model and Criteria for Registration* document which lists definitions of applicable functional entities used in approved reliability standards.

3. As part of the reliability standards adoption process, the AESO must ensure that the reliability standards contain clear consideration of the functional entity applicability. Within the applicability section of the reliability standards:
 - a. The compliance monitor will assign applicability of reliability standards to functional entities based on the definitions and criteria in the *Alberta Reliability Standards Functional Model and Criteria for Registration* document.
 - b. Additionally, the compliance monitor will describe any possible conditions to applicability of reliability standards as a whole and in case of potential applicability at the level of individual requirements will list applicability conditions by requirement.
4. Using the registration process described in this guide, market participants should register for the functional entity types shown below:
 - Legal owner of an aggregated generating facility
 - Legal owner of an electric distribution system
 - Legal owner of a generating unit
 - Legal owner of a transmission facility
 - Market participant receiving service under Rate DTS of the ISO tariff
 - Operator of an aggregated generating facility
 - Operator of an electric distribution system
 - Operator of a generating unit
 - Operator of a transmission facility

4.1 REGISTRATION

Registration confirmation by a market participant to functional entities will be carried out on an annual basis. The compliance monitor has provided the *Alberta Reliability Standards Registration Form* to be used by market participants for the purpose of registration (see procedures in section 3.1 of this document).

1. Initial (roll-out) registration stage:
 - a. The AESO assigns market participants to functional entities as defined in the *Alberta Reliability Standards Functional Model and Criteria for Registration*. The assignments are made based on current information at the time of registration.
 - b. The AESO communicates initial assignment to the market participants and requests the market participants to confirm their affiliation with particular functional entities within 30 days of a request.
 - c. The AESO's initial assignment will be made at a high-level, holding/corporate level. In case that a market participant needs to register two or more legal entities due to confidentiality reasons, the market participants will submit separate registrations.
 - d. Market participants not initially assigned to functional entities due to lack of information will be requested to register for their functional affiliation through submission of the *Alberta Reliability Standards Registration Form*. The AESO will request all market participants to submit their registration information and specify timing.
 - e. Market participants will provide positive confirmation of their functional entity affiliation or submit a completed registration form to the AESO within 30 days from

the date of request. Failure to respond will be considered as positive confirmation of assigned affiliation.

- f. Market participants may dispute their assignment to a particular functional entity category. The dispute resolution process will follow the reliability standard format as described below in section 4.3.

2. Post-initial registration stage:

- a. For the years following the initial registration, the process for registration confirmation will be synchronized with the annual self-certification cycle.
- b. Market participants should register any change in their functional affiliation as soon as reasonably possible, no later than the next annual self-certification cycle.

3. Market participants should provide the AESO with the following information:

- a. Primary and alternate compliance contacts for their organization. These will be the contacts for all compliance communication between market participants and the compliance monitor's staff. The compliance monitor's staff will not communicate with other personnel of market participants unless prior arrangements are made by the primary or alternate compliance contacts with the compliance monitor's staff. It is the market participant's responsibility to advise of any changes to the contacts as soon as practical by way of a revised registry form.
- b. Market participants may provide an additional generic communication channel for reliability standards related communication (e-mail).

4.2 APPLICABILITY ASSESSMENT

1. Registered market participants may submit a request for an applicability assessment regarding a reliability standard as a whole or to the applicability of individual requirements of a reliability standard. Applicability assessment requests will go through the compliance monitor's internal process that determines the validity of the request. For clarity, an applicability assessment request will not assist a registered market participant in determining its obligation under the *Electric Utilities Act* in regards to compliance with Alberta reliability standards. An applicability assessment request will only identify whether or not a registered market participant's compliance with a certain Alberta reliability standard or an individual requirement within an Alberta reliability standard will be monitored by the AESO's compliance monitoring team.
2. Registered market participants requesting an applicability assessment should submit a completed and signed applicability assessment request form to the compliance monitor. The applicability assessment request should be supported by detailed documentation. Based on the compliance monitor's review, further supporting documentation may be requested to assess the reasonability of the request in advance of the compliance monitor completing an evaluation. The submission and supporting documentation, as requested by the compliance monitor, should be forwarded to the compliance monitor in PDF format via email to rscompliance@aeso.ca.
3. The compliance monitor will assess the applicability assessment request and will notify the registered market participant within 90 days of receipt by the compliance monitor of a completed applicability assessment.
 - a. A reasonability assessment will be completed by the compliance monitor, based on the applicability conditions, as specified in the applicability section of the reliability standards.

- b. The compliance monitor will inform the registered market participant of its assessment. Should the market participant disagree with the decision on applicability, the market participant may submit additional information for a second and final assessment.
 - c. If a request results in applicability being confirmed, the compliance monitor will provide an explanation for its assessment. Should the market participant not agree with the final decision, the market participant may, if applicable, initiate the ISO Rule 103.2 dispute resolution process as described in section 4.3 of this document.
4. During the period the compliance monitor is assessing an applicability assessment request, compliance monitoring of the registered market participant with respect to the subject matter of the request may be suspended until the compliance monitor assessment has been communicated.
 5. If the compliance monitor confirms applicability to the registered market participant, compliance monitoring of reliability standards will be deemed to be effective on the date such standard was applicable to the market participant.
 6. The compliance monitor may conduct a spot audit in order to assess the reasonability of applicability assessment(s).
 7. Where a registered market participant has received notification from the compliance monitor that the compliance monitoring program will not apply based on the results of an applicability assessment, the registered market participant is required to conduct an annual review. The results of the review will be confirmed within the self-certification process. The annual self-certification letter should note each requirement that is not applicable, referencing the applicability assessment request and indicating that there have been no changes since the decision.

4.3 DISPUTE RESOLUTION

Disputes related to the registration process will be subject to a process defined within ISO Rule 103.2. The process will be applied to resolve disputes concerning assignment of market participants to the *Alberta Reliability Standards Functional Model and Criteria for Registration*.

4.4 REGISTRY

The compliance monitor will develop and maintain the *Alberta Reliability Standards Registry* that captures the relationship between market participants and functional entities. The registry will be posted on the AESO website.

1. Upon the market participant's confirmation of their functional entity affiliation, the compliance monitor will add the market participant to the *Alberta Reliability Standards Registry*. The registry will be updated as required and maintained on an on-going basis.
2. Approved applicability assessments of reliability standards will not be publicly posted.
3. Market participants listed in the registry are responsible for compliance with applicable reliability standards. They will be subject to the compliance monitor's Compliance Monitoring Program (CMP).
4. The compliance monitor will not actively monitor for compliance with the reliability standards market participants that are not registered for their affiliation for their functional entity. However, the market participants that are not placed on the registry, but are identified subsequently as having a material impact on AIES reliability, will be added to the registry.

5 Related Documents and Revision History

5.0 RELATED DOCUMENTS

Documents referenced in this guide can be found by clicking on the following website page links:

[Alberta Reliability Standards Registration Form](#)

[Alberta Reliability Standards Registry](#)

[Applicability Assessment Forms](#)

[Alberta Reliability Standards Functional Model and Criteria for Registration](#)

[ISO Rules page](#)

5.1 REVISION HISTORY

This document is a compliance monitor information document and guide, and not an authoritative document. Revisions to this document may be made from time to time by the AESO Compliance group. Registered market participants will be notified of revisions through the AESO Stakeholder Newsletter.

Revision	Date	Comments
1.0	May 15, 2009	Posted on AESO's website.
1.1	June 25, 2009	Alberta Reliability Standards Functional Model updated.
1.2	February 23, 2012	Document wording and sections 5.4 and 5.5 changed to reflect new applicability assessment process
2.0	December 18, 2012	Re-formatting and wording changes to reflect updated Functional Model and Criteria for Registration document
2.1	April 26, 2016	Updated to reflect changes in the Functional Model and Criteria for Registration document; other administrative changes included.