

Guidelines for Assisting with the AESO Participant Involvement Program (PIP)

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1. Introduction

These guidelines provide additional information regarding the AESO’s direction or request for assistance in completing the AESO’s Participant Involvement Program (“PIP”) for projects that respond to system access service requests.

1.1 Purpose

These guidelines describe (i) the AESO Directed PIP Work¹; and (ii) the AESO’s rationale and expectations for PIP assistance. Providing the information requested in these guidelines will assist the AESO in meeting its PIP requirements under Alberta Utilities Commission (“AUC”) *Rule 007: Applications for Power Plants, Substations, Transmission Lines, Industrial System Designations, Hydro Developments and Gas Utility Pipelines* (“AUC Rule 007”).

1.2 Background

Pursuant to AUC Rule 007, the AESO is required to conduct a PIP prior to submitting a needs identification document (“NID”) or abbreviated needs identification document (“ANID”) to the AUC for approval. AUC Rule 007 Appendix A2 *“Independent System Operator (ISO) participant involvement program guidelines”* describes the requirements for the AESO’s PIP, which may differ from the PIP requirements applicable to a legal owner of transmission facilities (“TFO”) or a market participant (“MP”).

The AESO also conducts PIPs for projects that are eligible for approval under Section 501.3 of the ISO rules, *Abbreviated Needs Approval Process* (“ANAP”). For ANAP eligible projects, the AESO’s PIP is conducted in accordance with the requirements for AUC Rule 007 Appendix A2 *“Independent System Operator (ISO) participant involvement program guidelines”*.

As the AESO is engaging with, and being contacted by, numerous stakeholders on various initiatives throughout Alberta, it is important for the AESO to be aware of the content and timing of all transmission development notifications that stakeholders may receive. These guidelines are meant to assist the AESO in ensuring the coordination and alignment of the TFO or MP Stakeholder Materials (as defined below) and the AESO stakeholder materials.

1.3 PIP Assistance

Unless otherwise requested by the AESO, all deliverables should be provided by email to the AESO project manager assigned to the project.

1.3.1 The AESO’s Direction to the TFO for Connection Projects

Pursuant to Section 35(1)(a) of the *Electric Utilities Act*, the AESO has authority to direct a TFO to assist the AESO in preparing ANIDs or NIDs. Pursuant to Section 39 of the *Electric Utilities Act*, and Section 14(1) of the *Transmission Regulation*, the TFO, as part of its duties, must, as directed by the

¹ Those components of the AESO PIP completed by the TFO, or MP (for Market Participant Choice projects), are referred to as the “AESO Directed PIP Work”.

AESO, assist the AESO in preparing its ANID or NID, as applicable. The AESO issues a direction to the TFO for PIP assistance when it has determined it is appropriate for the TFO to assist the AESO in preparing the AESO's ANID or NID, by completing certain components of the AESO's PIP. The direction refers the TFO to these guidelines and requires the TFO to complete the AESO Directed PIP Work in accordance with these guidelines.

1.3.2 AESO's Request to the MP for Market Participant Choice Projects

MPs who have submitted a proposal to the AESO for the construction and temporary operation of a transmission facility pursuant to Section 24.31 of the *Transmission Regulation* follow the AESO's market participant choice ("MPC") process. For MPC projects, the AESO issues a letter requesting the MP to assist with preparing the AESO's ANID or NID, including by completing certain components of the AESO's PIP. The request requires the MP to complete the AESO Directed PIP Work in accordance with these guidelines.

2. PIP Plan

As part of the AESO Directed PIP Work, the TFO or MP must submit a plan clearly describing how it proposes to complete the AESO Directed PIP Work (the "PIP Plan") in accordance with these guidelines, AUC Rule 007 and the AESO's direction letter or request letter. The PIP Plan is submitted by e-mail to the AESO project manager.

The PIP Plan must be approved by the AESO before it is implemented by the TFO or MP. The TFO or MP is expected to inform the AESO promptly if it becomes aware of any changes to the accuracy or completeness of the information in the PIP Plan.

The PIP Plan should include the following components:

2.1 Statement of Compliance

A statement confirming that the AESO Directed PIP Work will be completed in accordance with these guidelines, AUC Rule 007 and the AESO direction or request letter, with a reference to the date of the direction or request letter.

2.2 Facility Application Type

A statement describing the type of facility application applicable to the project, as specified in AUC Rule 007, Appendix A1, Section 5, which will be used to inform the notification methodology described below.

2.3 Notification Methodology

A statement providing the minimum notification area for the type of facility application, as specified in AUC Rule 007, Appendix A1, Section 5, with details of any planned deviations.

The statement should include a description of how the TFO or MP intends to conduct notification and provide details of all anticipated notification methods (e.g., addressed mail, postal code drop, e-mail, hand delivery). It should also specify the Stakeholder Materials (as defined in Section 3) that will be distributed for each of the planned distribution methods.

2.4 Timeline

A timeline with the following information:

- Estimated dates of when the Stakeholder Materials will be distributed, for each planned distribution method. This information may be organized according to stakeholder group, as appropriate.
- Estimated dates, times, and locations of open houses and public information sessions, if applicable. If none are planned, include a statement indicating this.
- Estimated release or posting dates for other types of planned communications (e.g., website posting, social media announcement of open house dates), if applicable.
- Estimated completion date for the PIP activities.

2.5 Stakeholder List

A list that identifies the stakeholders that will receive notification materials. If the TFO or MP proposes to exclude certain stakeholders or stakeholder groups from the AESO Directed PIP Work, the rationale for this decision is required..

For organizations such as local authorities, elected officials, agencies, government bodies, industries, and stakeholder groups, the stakeholder list should include the name of each representative of the organization to be notified, as available.

For all occupants, residents and landowners, the list should indicate the approximate number of stakeholders and exclude any personal information.

2.6 Indigenous Groups

Determine the appropriate Indigenous consultation category in accordance with AUC Rule 007 Appendix A1-B "*Participant involvement program guidelines for Indigenous groups*" and provide supporting rationale for selecting that category. For Category C projects provide a summary of any feedback provided by the AUC on Indigenous consultation requirements and the AUC's determination of the most suitable Indigenous consultation category.

Provide a summary of any Indigenous group consultation directed by the government of Alberta, through the Alberta Consultation Office (ACO), or otherwise. If advice from the government of Alberta on consultation was not sought, the TFO or MP must summarize the steps it took to identify Indigenous groups. If no steps were undertaken to identify Indigenous groups, the TFO or MP must provide an explanation.

Provide a list of all Indigenous groups in the development area, together with a rationale explaining whether they are to be included or excluded from the notification. Provide a statement confirming

that notification and consultation with Indigenous groups will be carried out according to AUC Rule 007 Appendix A1-B.

3. Stakeholder Materials

The TFO or MP, as applicable, will prepare project-specific information documents (“Stakeholder Materials”) as part of its PIP that include a description of the transmission facilities to be installed, upgraded or modified. The Stakeholder Materials are expected to align with the AESO’s stakeholder materials.

As part of the AESO Directed PIP Work, the AESO expects the TFO or MP to follow the process outlined below to ensure there is alignment between the AESO PIP, TFO PIP and MP PIP:

a) Stakeholder Materials include any materials that are distributed with the AESO’s one page newsletter (“AESO Need Overview”) or make reference to the AESO’s role, the need, or the AESO’s preferred alternative to respond to the request for system access service. This may include, but is not limited to the following:

- brochures (which may contain site plans or maps)
- newsletters (which may contain site plans or maps)
- poster boards for open houses/public information sessions
- advertisements (print and/or electronic)
- web pages
- social media posts

The TFO or MP must provide all proposed Stakeholder Materials to the AESO project manager for review and approval. The AESO will advise the TFO or MP of any changes required to the Stakeholder Materials with respect to the AESO’s role, the AESO’s need, or the AESO’s preferred alternative, and will not provide the AESO Need Overview until such changes have been made.

b) The Stakeholder Materials provided to the AESO for review, specifically the newsletter/letter/brochure, must include the following paragraph and the AESO’s contact information:

“The AESO is an independent, not-for-profit organization responsible for the safe, reliable and economic planning and operation of the provincial transmission grid. For more information about why this project is needed, please refer to the AESO’s Need Overview included with this package or visit www.aeso.ca. If you have any questions or concerns about the need for this project or the proposed transmission development to meet the need you may contact the AESO directly. You can make your questions or concerns known to a transmission facility owner representative who will collect your personal information for the purpose of addressing your questions and/or concerns to the AESO. This process may include disclosure of your personal information to the AESO.”

“Alberta Electric System Operator (AESO)

stakeholder.relations@aeso.ca

1-888-866-2959

www.aeso.ca”

c) The AESO will prepare an AESO Need Overview, which includes AESO contact information. The AESO Need Overview must be distributed with the Stakeholder Materials, specifically the newsletter/letter/brochure. The AESO Need Overview will be provided to the TFO or MP upon completion of the AESO’s review and approval of the Stakeholder Materials and PIP Plan. The TFO or MP must coordinate with the AESO regarding subsequent distributions to stakeholders that include changes to, or new Stakeholder Materials.

4. Notifications to the AESO

As part of the AESO Directed PIP Work, the AESO requires the following notifications from the TFO or MP:

4.1 Confirmation of Distribution

The TFO or MP must confirm to the AESO project manager when the Stakeholder Materials and the AESO Need Overview have been distributed to all stakeholders and provide a copy of the final Stakeholder Materials to the AESO.

4.2 Deviations

The AESO expects the TFO or MP (as applicable) inform the AESO of any deviations from the PIP Plan. The AESO understands that the stakeholder list may change and may be updated during the PIP. As such, the TFO or MP should notify the AESO periodically as the preliminary stakeholder list is updated to ensure coordination and alignment of the PIP activities.

4.3 Stakeholder Questions

Within seven days of the TFO or MP receiving stakeholder questions or concerns regarding the need to respond to the request for system access service and/or the AESO’s preferred option to respond to the request for system access service, the TFO or MP must provide direct such questions or concerns to the AESO for the AESO’s response. This will allow the AESO to promptly address stakeholder concerns. The TFO or MP shall attempt to obtain stakeholder consent to forward their contact information to the AESO when questions relevant to the AESO are received.

Should the AESO receive any questions or concerns that pertain to the TFO’s or MP’s facility application and upon receiving permission from the stakeholder to share his or her contact information, the AESO will ensure these are made available to the TFO or MP within seven days.

5. PIP Report

The TFO or MP must prepare a report (the “PIP Report”), executed by an authorized representative, and delivered to the AESO’s project manager by email, confirming that the AESO Directed PIP Work was completed in accordance with: (i) the AESO direction or request, and (ii) the applicable requirements of AUC Rule 007. The PIP Report must also list and explain the deviations, if any, from: (i) the AESO direction or request; (ii) the applicable requirements of AUC Rule 007; and (iii) the approved PIP Plan.

If new stakeholders are identified and notified after the submission of the PIP Report, the AESO expects the TFO or MP to promptly inform the AESO and update the PIP Report accordingly.

The objective of the PIP Report is to accurately describe all of the activities that occurred during the AESO Directed PIP Work. The PIP Report forms the basis of the AESO’s PIP Summary which is posted on the AESO website and filed with the AUC as a component of the AESO’s ANID or NID. The PIP Report may be filed on the record in related AUC proceedings, and should be prepared with this possibility in mind.

The PIP Report should include the following components:

5.1 Statement of Compliance

A statement confirming that the AESO Directed PIP Work was conducted in accordance with AUC Rule 007 and the AESO direction or request, with a reference to the date of the direction or request.

5.2 Facility Application Type

A statement providing the type of facility application applicable to the project, as specified in AUC Rule 007, Appendix A1, Section 5.

5.3 Notification Methodology

A statement of the TFO’s or MP’s minimum notification area for the type of facility application, as specified in AUC Rule 007, Appendix A1, Section 5. Provide details of any deviations that occurred during completion of the PIP.

This should include a description of how notification was conducted, including details of all notification methods used (e.g., addressed mail, postal code drop, email, hand delivery), and specifying which Stakeholder Materials were distributed for each distribution method used.

5.4 Timeline

A timeline with the following information:

- The dates of Stakeholder Material distribution for each distribution method used. This information may be organized by stakeholder group. If there were several rounds of notification that included the AESO Need Overview, then provide the start and end date for each notification.

- Release or posting dates for all other communications (e.g., website posting, social media announcement of open house dates).
- The dates, times, and locations of any open houses or public information sessions held. Alternatively, provide a statement that no open houses or information sessions were held.
- A list of any project specific materials posted on the TFO or MP's website (including the AESO Need Overview), together with the posting dates and URLs. If no materials were posted on the TFO or MP website, then provide a statement confirming this.
- date of notification completion (i.e. when the last stakeholder received Stakeholder Materials that included the AESO Need Overview) at the time of PIP Report submission.

5.5 Stakeholder List

Provide a stakeholder list that includes all stakeholders who have received notification materials and any stakeholders or stakeholder groups that were excluded from the AESO Directed PIP Work, together with a rationale for the decision to exclude those stakeholders or stakeholder groups.

For organizations such as local authorities, elected officials, agencies, government bodies, industries, and stakeholder groups, the stakeholder list should include the name of each representative of the organization that was notified if available.

For occupants, residents and landowners, the stakeholder list should indicate the approximate number of stakeholders and exclude any personal information.

5.6 Indigenous Groups

Identify the Indigenous consultation category per AUC Rule 007 Appendix A1-B "*Participant involvement program guidelines for Indigenous groups*" and provide supporting rationale for selecting this category.

Provide a summary of any Indigenous group consultation directed by the government of Alberta, through the Alberta Consultation Office (ACO), or otherwise. If advice from the government of Alberta on consultation was not sought, the TFO or MP must summarize the steps it took to identify and consult with Indigenous groups. If no steps were undertaken to identify and consult with Indigenous groups then the TFO or MP must provide an explanation for this decision.

If applicable, provide a list of all Indigenous groups that were notified. Provide a statement confirming that notification and consultation with Indigenous groups will be carried out according to AUC Rule 007 Appendix A1-B.

5.7 Deviations

Describe any deviations from, or additions to, the PIP Plan and provide supporting reasons.

5.8 Questions and Concerns Received

Describe all questions and concerns received by stakeholders regarding the need to respond to the request for system access service and/or the AESO's preferred option to respond to the system

access service request. If there were no questions or concerns raised, provide a statement indicating that there were no questions or concerns regarding the need to respond to the request for system access service and/or the AESO's preferred option to respond to the request for system access service, as appropriate.

5.9 Stakeholder Materials

Attach all Stakeholder Materials that were distributed or otherwise made available to stakeholders during the AESO Directed PIP Work as appendices to the PIP Report.

Stakeholder Materials include any materials that were distributed with the AESO's Need Overview, or make reference to the AESO's role, the need, or the AESO's preferred alternative. This may include, but is not limited to the following:

- brochures (which contains site plans or maps)
- newsletters (which contains site plans or maps)
- poster boards for open houses/public information sessions
- advertisements (print and/or electronic)
- web pages
- social media posts