

Information Documents are not authoritative. Information Documents are for information purposes only and are intended to provide guidance. In the event of any discrepancy between an Information Document and any Authoritative Document(s)¹ in effect, the Authoritative Document(s) governs.

1 Purpose

This Information Document relates to the following Authoritative Document:

- Section 103.12 of the ISO rules, *Compliance Monitoring*

The purpose of this Information Document is to provide guidance to market participants regarding the process for submitting a complaint to the AESO regarding an apparent contravention of an ISO rule, Alberta reliability standard or AUC Rule 021: *Settlement System Code Rules* by a market participant or the ISO.

A market participant or other interested person may submit a complaint form to the AESO, and if it does, the market participant or other interested party must provide sufficient information to allow the AESO to initiate an assessment of the complaint and to maintain communication with the complainant. This complaint form is attached to this Information Document as Appendix 1.

2 Appendices

Appendix 1 – *AESO Compliance Complaint Form*

Revision History

Posting Date	Description of Changes
2019-12-09	Initial release

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

Appendix 1

COMPLAINT FORM

In accordance with Section 103.12 of the ISO rules, *Compliance Monitoring* (Section 103.12), this form is to be completed by a market participant or interested party that wishes to report an apparent contravention of a requirement of an ISO rule, Alberta Reliability Standard (ARS) or AUC Rule 021: Settlement System Code Rules (Rule 021) by a market participant or by the ISO.

Completed forms are to be sent to the AESO by mail or email:

Via Mail: Alberta Electric System Operator (AESO)
Attention: Director, External Compliance (market participant contraventions), or
Director, Interjurisdictional Affairs and Compliance (ISO contraventions)
2500, 330 – 5 Avenue SW
Calgary, AB T2P 0L4

Via Email: ISO rules: isorulescompliance@aeso.ca
ARS: rscompliance@aeso.ca
Rule 021: loadsettlementcompliance@aeso.ca
AESO: ija-inbox@aeso.ca

Details regarding the processes that will be used by the AESO once this form is completed and submitted to the AESO are outlined [Section 103.12](#).

PART A: INFORMATION REGARDING THE PARTY SUBMITTING THE COMPLAINT

Market Participant or Interested Party

Organization Name: _____

Address: _____

City/Town: _____ Province/State: _____

Postal/Zip Code: _____ Country: _____

Phone: () - - _____ Fax: () - - _____

Email Address: _____

Contact

Name: _____

Phone: () - - _____ Fax: () - - _____

E-mail Address: _____

PART B: CONFIDENTIALITY

Is this Submission made on a Confidential Basis? *(please check one)*

Yes

No

PART C: PARTICULARS OF THE COMPLAINT

Please outline below (or attach) the particulars of the complaint.

(Note: please include the name of the party that is the subject of the submission; the date, time and estimated duration of the alleged non-compliance; the ISO rule, ARS or Rule 021 requirement that was allegedly breached; as well as any other relevant details)

Please check box if additional particulars are attached

PART D: FACTS OR INFORMATION THAT SUPPORT THE COMPLAINT

Please outline below (or attach) any facts or information that support the complaint.

Please check box if additional facts or information are attached

PART E: SIGNATURE OF INDIVIDUAL OR AUTHORIZED REPRESENTATIVE OF THE MARKET PARTICIPANT OR INTERESTED PARTY MAKING THE COMPLAINT

Signature: _____

Title: _____

Date: _____