

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

The purpose of this Information Document is to provide guidance to market participants and interested parties (“proponents”) with respect to the AESO’s process for proponents to propose rules and changes to ISO rules for the AESO’s consideration in accordance with section 20.81 of the *Electric Utilities Act* (“EUA”).

2 ISO Rule Proposals

The *Consolidated Authoritative Document Glossary* defines ISO rules as the rules made by the AESO under section 19 and 20 of the EUA. Section 20.81 of the EUA requires the AESO to establish a process for proponents to propose rules and changes to ISO rules including removal of ISO rules.

A proponent submits an ISO rule proposal (“Proposal”) by completing the ISO Rule Proposal form available on the [ISO Rule Proposals](#) section of AESO.CA, and submitting the form to ruleproposals@aeso.ca. Note that a proponent is not required to include draft proposed rule language as part of a Proposal.

In the event that the AESO determines that a Proposal requires the development of a proposed ISO rule, the AESO will develop the proposed ISO rule in accordance with the consultation requirements set out in Alberta Utilities Commission Rule 017, *Procedures and Process for Development of ISO Rules and Filing of ISO Rules with the Alberta Utilities Commission* (“AUC Rule 017”).

This process applies only to Proposals that have been formally submitted to the AESO for consideration.

3 Proponent Considerations

3.1 Ongoing Consultations

Prior to submitting a Proposal, proponents are encouraged to review the [Stakeholder Engagement webpage](#) on AESO.CA to determine whether there is an ongoing consultation in which they could participate related to the issue(s) to be addressed in the Proposal.

3.2 Prior Proposals

Prior to submitting a new Proposal, proponents are encouraged to review existing Proposals, published on the ISO Rule Proposals section of AESO.ca, in order to determine whether a similar Proposal is being or has previously been considered by the AESO.

The AESO’s process to review Proposals does not incorporate collecting and considering comments from other parties regarding submitted Proposals. However, a Proponent may submit a new Proposal with respect to issues that have been identified or addressed in prior Proposals.

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.

3.3 Amending or Withdrawing Proposals

If a Proposal is under consideration by the AESO, the proponent may amend its Proposal and submit the amended Proposal Form to ruleproposals@aeso.ca. The proponent may also withdraw its Proposal by sending an e-mail notification to the AESO at ruleproposals@aeso.ca.

3.4 Request for Information, Waivers or Variances

Prior to submitting a Proposal, proponents are encouraged to consider whether their issue can be addressed through a request for information or a waiver or variance request in respect of an existing ISO rule. More information is available on the [Requests for Information, Waivers or Variances Regarding Authoritative Documents webpage](#) on AESO.CA.

4 AESO Considerations

4.1 Transparency

The AESO believes transparency of Proposals is beneficial and therefore will be posting the following information on AESO.CA:

- Proposals and any related materials received;
- information regarding the status of each Proposal; and
- the AESO decision regarding each Proposal.

The AESO will redact personal contact information contained within a Proposal before it is published. If a proponent has concerns relating to the confidentiality of any information contained within or provided in support of a Proposal, they are encouraged to clearly identify these concerns when submitting the Proposal.

4.2 Information Requests

The AESO may seek additional information from a proponent, if required, to fully understand the issue(s) and the scope of a Proposal.

4.3 Bundling of Proposals

For efficiency purposes, the AESO may determine that bundling of similar or related Proposals for consideration is appropriate.

4.4 Review Criteria

Once the AESO determines that it has sufficient information to reasonably assess a Proposal, the AESO will apply criteria to determine whether the Proposal requires the development of a proposed ISO rule. The merits of the Proposal will be assessed against the following criteria:

- the requirements of legislation and regulations and related policies, including impacts to the reliability of the Alberta interconnected electric system and the fair, efficient and openly competitive operation of the Alberta electricity market;
- challenges in complying with existing ISO rule requirements;
- broad impacts to the Alberta electric industry and Alberta electricity consumers;

- economic and financial considerations; and
- technological considerations or limitations.

5 AESO Decisions

As described in section 2 above, when, in the opinion of the AESO, a Proposal requires the development of a proposed ISO rule, the AESO will follow the consultation process set out in AUC Rule 017.

Where the AESO determines that a Proposal does not require the development of a proposed ISO rule, the AESO will notify the proponent of the AESO's decision, including the rationale. The decision will be published on the ISO Rule Proposals section of AESO.CA.

The AESO will conduct an appropriate review of the particular facts and circumstances related to each Proposal and the response time for each Proposal may vary. The AESO will endeavor to respond within 2-4 months of receiving a Proposal. If the AESO's response is expected to take longer than 4 months, the AESO will notify the proponent.

6 Compliance Information

If a market participant submits a Proposal to the AESO and is concerned that it is not or may not be in compliance with the requirements of an Authoritative Document while the Proposal is being reviewed by the AESO, it is the market participant's responsibility to determine the appropriate course of action. Such action may include discussing the matter with its legal advisors or a self-referral to the MSA if the market participant suspects it may not be in compliance with the requirement(s) in question.

7 Freedom of Information and Protection of Privacy

The AESO is a public body subject to the provisions of the *Freedom of Information and Protection of Privacy Act* ("FOIP Act") and may be required to disclose certain information upon request. Information related to the ISO Rule Proposals process or to the Proposals may be requested under the FOIP Act; however, the right of access is not absolute. The FOIP Act recognizes several legitimate reasons to refuse access to information (as outlined in sections 16-29 of the FOIP Act), including harm to business and privacy interests. The AESO is committed to protecting information that qualifies for an exemption. Third parties are active participants in the request process and maintain the right to provide input during the decision-making process and the right to appeal any disclosure decisions.

Note: The AESO is authorized under section 33(c) of the FOIP Act to collect personal information for the limited purpose of providing responses to individual inquiries. Questions related to the handling of personal information can be directed to privacy@aeso.ca.

Revision History

Posting Date	Description of Changes
2019-01-15	Initial release