

Thursday, March 26, 2020

The AESO's External Compliance Monitoring (ECM) team at the AESO has compliance monitoring programs to monitor market participant's compliance with Alberta Reliability Standards, the ISO rules and load settlement rules in Alberta Utilities Commission Rule 021. The AESO is required to meet its legislated requirements to monitor compliance of these rules and standards.

The AESO recognizes the industry challenges posed by the COVID-19 pandemic, especially where it poses risks to the safety of people, shifts of resources to higher priority operational activities, and the potential reduction of working resources. Those are also the same challenges that the AESO is facing in its work and compliance with ISO rules and Alberta Reliability Standards that apply to the AESO.

The AESO has reviewed the compliance monitoring programs in all areas, and has implemented changes to the programs and processes to help the industry through these challenges. The changes will allow market participants to defer some audit activities, put in place procedural flexibility such as allowing additional time for responses to requests, and encouraging market participants to work with our team to address any unique situations they may encounter.

Effectively immediately, ECM is implementing the changes to the specific programs, as follows:

### **Alberta Reliability Standards Compliance Monitoring Program**

#### *Scheduled audits*

Decisions to continue or defer an audit will be made by each market participant, who can consider their specific situation, state of the audit, and capacity to continue with the audit. This means the following:

1. Where the market participant does not wish to continue with their scheduled audit, ECM will defer this audit;
2. Where the market participant wishes to continue their scheduled audit, with procedural flexibility (extended timelines, etc.), AESO will consider that request;
3. Where the requests cannot be accommodated, ECM will defer the audit;
4. Deferrals will be a minimum of 3 months from the originally scheduled date.

#### *Self-Certification*

The submission of the Cycle 2 self-certification will be deferred to July 31, 2020, while the self-certification period remains the same April 1, 2019 to March 31, 2020.

If you have any requests and questions please email: [rscompliance@aeso.ca](mailto:rscompliance@aeso.ca).

### **ISO Rules Compliance Monitoring Program**

If upon receipt of an Information Request from the AESO, the market participant experiences any foreseen issues responding to the request, or additional time is required as a result of these impacts, please email: [isorulescompliance@aeso.ca](mailto:isorulescompliance@aeso.ca) to arrange for the appropriate response arrangements or extension.

For certain unique monitoring programs (Sections 501.2 and 9.1 of the ISO rules), the AESO will reach out to the directly impacted market participants to make unique arrangements. If you have any questions, please email: 501.2 - [securityrulecompliance@aeso.ca](mailto:securityrulecompliance@aeso.ca) or 9.1 - [tpcompliance@aeso.ca](mailto:tpcompliance@aeso.ca).

### **Load Settlement Compliance Monitoring Program**

If upon receipt of an Information Request from the AESO, the market participant experiences any foreseen issues responding to the request, or additional time is required as a result of these impacts, please email: [loadsettlementcompliance@aeso.ca](mailto:loadsettlementcompliance@aeso.ca) to arrange for the appropriate response arrangements or extension.

Our goal is to ensure that all market participants have the needed flexibility to manage their relationship with the ECM team. If you have any questions regarding the ECM's monitoring programs as noted above, please reach out to me at [peter.wong@aeso.ca](mailto:peter.wong@aeso.ca)

Regards,

*("signed")*

Peter Wong

Director, External Compliance Monitoring