Compliance Quarterly Report

Q4 2023

Compliance Quarterly Report - ISO Rules - 2023 Q4

The following charts summarize the activities of the ISO Rules External Compliance Monitoring group in Q4 of 2023 and the distribution of events over the past 4 quarters.

Please refer to the attached help documentation for details on interpreting the charts below. For any questions regarding this report, please send an email to isorulescompliance@aeso.ca.


2023 Q4 File Activity

Closed: 16 | Opened: 32

Outcomes of 2023 Q4 Closed Files

Dropped: 3 | Referred: 13
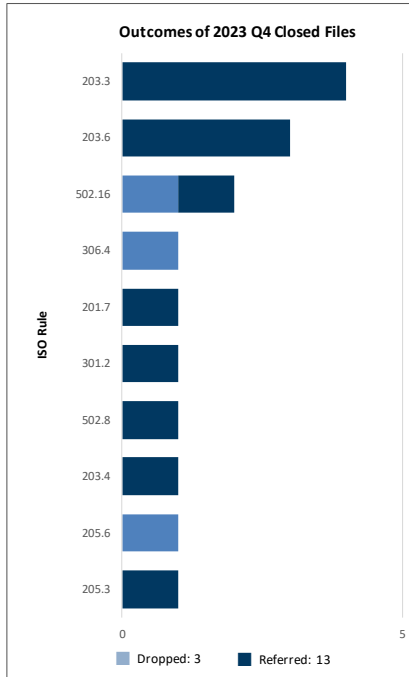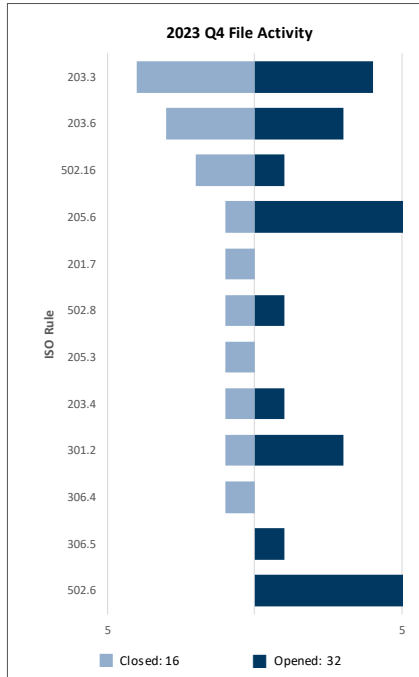
Historical Referrals to MSA by Rule

Rule	2023Q1	2023Q2	2023Q3	2023Q4
201.1			1	
201.4	1			
201.7	4	1	2	1
203.1	1			
203.3	4	4	4	4
203.4	1	3	2	1
203.6	6	2		3
205.3			2	1
301.2	2		2	1
306.5	5	6	1	
502.16				1
502.4		2	2	
502.8	5	2	1	1
505.3	3	1		
Grand Total	**32**	**21**	**17**	**13**

Historical Referrals to MSA by Masked Participant

Participant	2023Q1	2023Q2	2023Q3	2023Q4
P1	1			
P2	1	2		
P3	1			
P4	2			
P5			3	
P6		1		
P7		3		
P8	4		1	
P9		1		1
P10			1	
P11				1
P12	1			
P13			3	
P14				1
P15	6			
P16				2
P17			2	
P18			1	
P19			2	
P20	1	2		3
P21				1
P22				1
P23		1		
P24		1		
P25		2		
P26	1			
P27				1
P28		1	1	1
P29		2		
P30		2		
P31			1	
P32		1		1
P33		1		
P34	1			
P35		1		
P36	6			
P37			2	
P38	1			
P39	2			
P40	4			

Historical Outcomes

Dropped | Referred
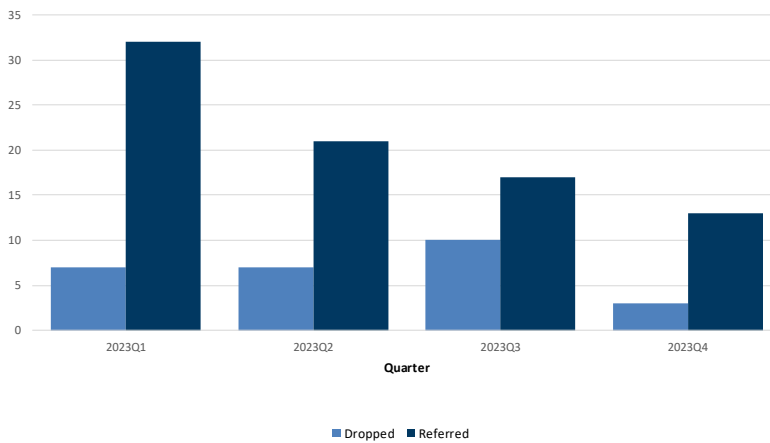
Commentary

There were 32 files opened during Q4 2023 and 16 files closed. Of the 16 files closed in the quarter, there were 13 referrals to the MSA of suspected contraventions. These referrals are distributed across 8 ISO rules.
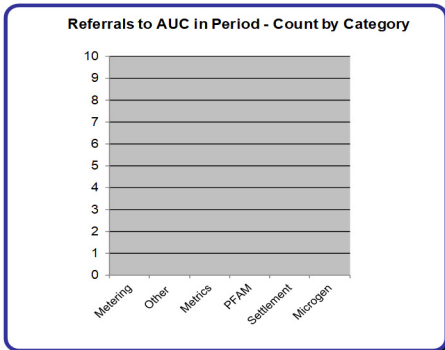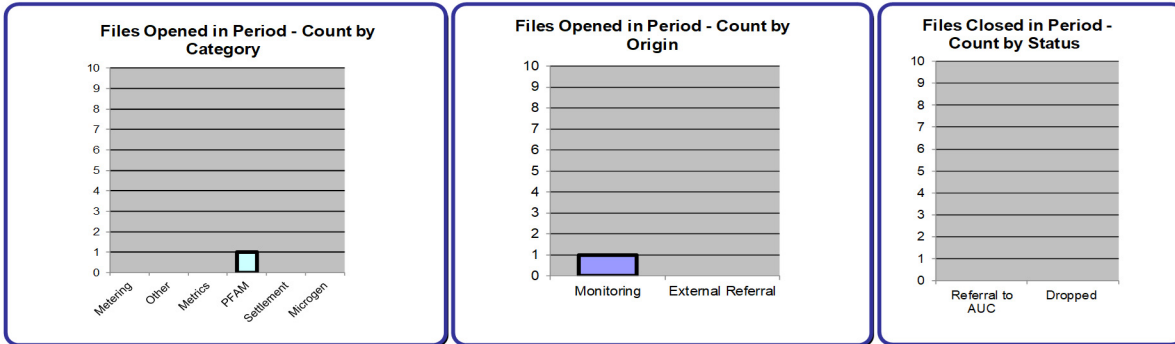
The 83 referrals to the MSA for over the past 4 quarters are distributed across 40 market participants and 14 ISO rules.

Note 1: As the AESO may refer multiple events in a single referral to the MSA, the AESO's count of referrals to the MSA may not match the MSA's count of AESO referrals, nor the count of penalties issued by the MSA in any given period from AESO referrals. Additionally, the ISO rules associated with case files may change over time such that the ISO rule identifed at file open may differ from the ISO rule at file closed stages.

Note 2: This report includes all activities associated with the compliance monitoring of Section 9.1 of the ISO rules.

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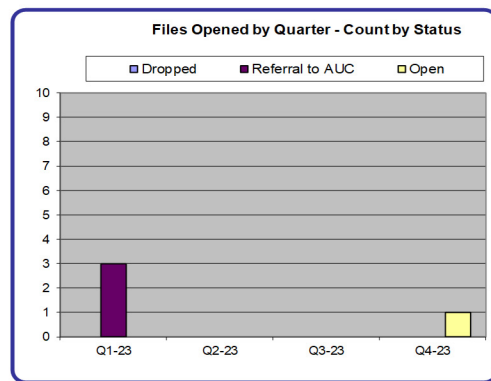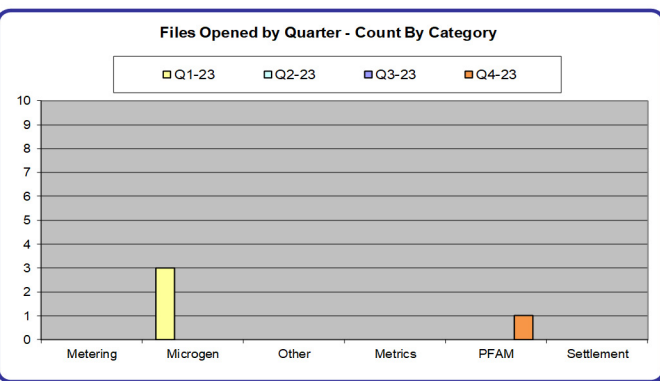# Compliance Quarterly Report - Load Settlement - Q4 2023

The following charts summarize the activities of the Load Settlement Compliance Monitoring group over the four quarters ending December 2023. Please refer to the attached help documentation for details on interpreting the charts below. For any questions regarding this report, please send an email to loadsettlementcompliance@aeso.ca.

Files Opened in Period - Count by Category

Files Opened in Period - Count by Origin

Files Closed in Period - Count by Status

Referrals to AUC in Period - Count by Category

Commentary

In Q4 2023, one new file was opened and none were closed or referred to AUC.

Revision Note: This report has been revised in Q1 2024 to correct errors identified in previous versions and to ensure accuracy and relevance.
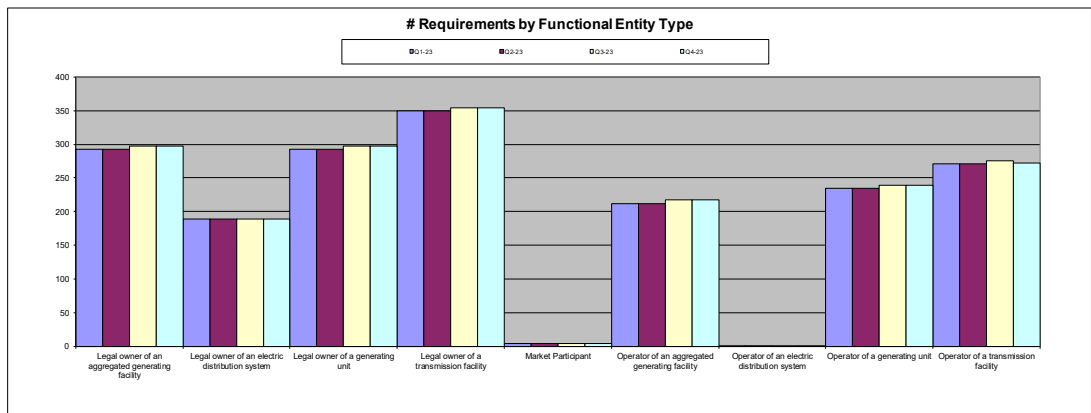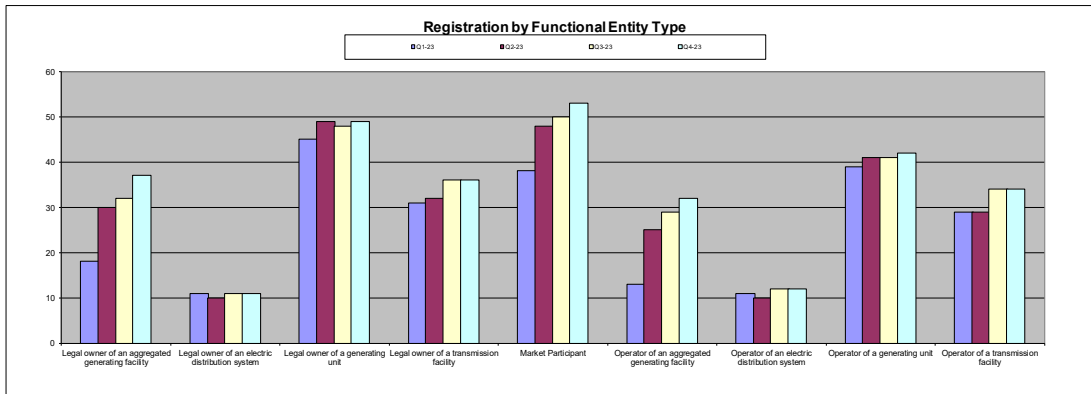
Files Opened by Quarter - Count By Category

Files Opened by Quarter - Count by Status

Referrals to AUC by Quarter of Referral Date and Masked Participant ID

Participant	Q1-23	Q2-23	Q3-23	Q4-23
LS1				
LS2				
LS3				
LS4				
LS5	1			
LS6				
LS7	1			
LS8				
LS9				
LS10	1			
LS11				
LS12				
LS13				

Referrals to AUC by Quarter of Referral Date and Category

Category	Q1-23	Q2-23	Q3-23	Q4-23
Metering				
Microgen	3			
Other				
Metrics				
PFAM				
Settlement				

Compliance Quarterly Report - Alberta Reliability Standards Monitoring - Q4 2023

Updated: February 2024

The following charts summarize the activities of the Alberta Reliability Standards Compliance Monitoring group for Q4 2023 and the distribution of events over the past four quarters. For any questions regarding this report, please send an email to rscompliance@aeso.ca.

Self-Certification

Legend: # Requested, # Received, # Resubmission Requested, # Referred

Compliance Monitoring Audits

Legend: # of Scheduled Audits, # of Audits Completed, # of MSA referrals, # of Audits in Progress, # of Spot Audits

Alberta Reliability Standards Registry

Legend: Q1-23, Q2-23, Q3-23, Q4-23

# of Registered Market Participants: 83, 96, 100, 103

Registration by Functional Entity Type

Legend: Q1-23, Q2-23, Q3-23, Q4-23

Requirements by Functional Entity Type

Legend: Q1-23, Q2-23, Q3-23, Q4-23

Common Terminology	
Category	Each **Compliance File** has an associated Category which refers to the ISO rule, AUC Rule 021 topic or Reliability Standard which may have been contravened. In the case of multiple categories, a principle category is assigned to the File.
Clarification Request	An email request sent in the ISO Rules Compliance process seeking additional detail on the information submitted with an offer restatement. This is part of the ISO Rules **Monitoring** process.
Compliance File	A compliance file refers to one or more Flagged Events that have been logged for Preliminary Assessment, or where a suspected contravention has been identified through a Compliance Monitoring Audit in accordance with ISO Rule 103.12. Every Compliance File has a status of Open, Dropped or Referred. Each Compliance File is applicable to a single market participant and has an associated File Date and Category.
Compliance Monitoring Audit	As described in ISO Rule 103.12. The process of monitoring or review of a TFO's compliance with ISO Rule 9.1.5.
Compliance Monitoring Audit Report	A report described in ISO Rule 103.12.9 (4) which communicates the results of the Compliance Monitoring Audit to the TFO and provides support for any referral to the MSA.
Date of Discovery	For an **internal** or **external referral**, the date that the referral was received. For an event identified by **Monitoring**, the date on which the AESO discovers the event and logs it for **Preliminary Assessment**.
Date of Notification	The date that a TFO is notified of a Compliance Monitoring Audit of its transmission facility project and a request for information that facilitate commencement of the Compliance Monitoring Audit.
File	Synonym for **Compliance File.**
File Date	A unique date associated with a **Compliance File**. In the case of ISO rules compliance, this is the date of the **event** itself. In the case of AUC 021 monitoring, this is the **Date of Discovery**.
Files Closed in Period	Compliance Files whose **status** changed to either **Dropped File** or **Referred File** within the reporting period. Note that these may have file dates from earlier quarters.
Files Opened in Period	Compliance Files with a **Date of Discovery** falling within the reporting period.
Flagged Event	A collection of one or more submissions or actions carried out by a market participant that may form the basis of a compliance file. Flagged events can come from **Monitoring**, an **Internal Referral** or an **External Referral** or from **Clarification Requests.**
Information Request	As described in ISO Rule 103.12, an Information Request is a letter submitted to a market participant describing the particulars of a potential ISO rule, AUC 021 topic or Reliability Standard contravention and seeking the market participant's input on the event.
Masked Participant ID	A unique identifier associated with each market participant for tracking **Referred Files** for that participant but without revealing the particular participant. The Masked Participant ID will NOT be consistent from report to report.
Masked Transmission Facility Owner (TFO)	A unique identifier associated with each **TFO** for tracking Compliance Monitoring Audits for that participant but without revealing the **TFO** name. The Masked **TFO** ID will NOT be consistent from report to report.
Monitoring	Queries, reports and other tools run by Compliance on a regular basis to identify **Flagged Events**.
Other	A **Category** of Other applies to events which Compliance examined but did not prove to be associated with any potential rule contravention.
Other Events	Compliance monitoring activities, other than Compliance Monitoring Audit, in relation to ISO Rule 9.1.1 *Monthly Reporting* , ISO Rule 9.1.3.4 *Project Change Proposal* , and ISO Rule 9.1.3.6 *Final Cost Report* .
Preliminary Assessment	As described in ISO Rule 103.12. The process of carrying out a detailed examination of a potential ISO rule, AUC 021 topic or Reliability Standard contravention (which is separate from a Compliance Monitoring Audit). This starts with the opening of a Compliance File and culminates in a decision to: send an Information Request regarding the event to the relevant market participant; to conclude that the data does not support an assessment of non-compliance and to drop the event; or, potentially, to make a referral to the AUC or MSA.
Referrals in Period	Compliance Files which have been referred to the MSA/AUC (as appropriate) in the period. Note that these may have file dates from previous quarters.
TFO Records	Documents, correspondences and other records of information that support compliance with ISO Rule 9.1.5
Warning Letter	In certain cases where a Preliminary Assessment has not been carried out or does not support an assessment of non-compliance, a letter may be sent to one or more participants which clarifies the obligations of a particular rule.

Table Specific Terminology	
Origin	A **Compliance File** has an origin which is an indication of how the **Flagged Event** was identified eg. **Monitoring, SC Referral, OC Referral**, etc.
CR	A **File Origin** of CR indicates that the event resulted from a **Clarification Request**.
External Referral	A **File Origin** of External Referral is a possible ISO rule, AUC 021 topic or Reliability Standard contravention identified by individuals outside the AESO and referred to compliance for a more detailed examination.
Internal Referral	A **File Origin** of Internal Referral is a possible ISO rule, AUC 021 topic or Reliability Standard contravention identified by other (non-compliance) personnel in the AESO in the course of their own work and referred to compliance for a more detailed examination.
Other	A File Origin of type Other refers to events which Compliance examined but which were brought to our attention through untypical means such as a question from a market participant or an AESO IT problem report.

Status	The current state of a **Compliance File.** Either **Open File**, **Dropped File** or **Referred File**.
Dropped File	The status of a Compliance File which is closed but is not a Referred File. A File may be closed for a variety of different reasons including: unreliable data, AESO IT system problems, Mitigating Factors as defined in ISO Rule 103.12 or an assessment that no rule has been contravened. A dropped file may have resulted in a Warning Letter being sent.
Open File	The **status** of a **Compliance File** which has been opened but which has not yet been **Dropped** or **Referred** to the MSA/AUC.
Referred File	The status of a Compliance File for which a referral regarding the file has been made to the AUC/MSA in accordance with ISO Rule 103.12.

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