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**Market Manual 2: Administration**

**Part 2.3: Market Rule  
Amendment Procedure**

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**Issue 6.0**

This procedure provides the steps to initiate and process an amendment to the *Market Rules*.

**PROCEDURE**

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5.0	Issue Released for Baseline 30.1	December 4, 2013
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## Related Documents

Document ID	Document Title

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## Table of Changes

<b>Reference (Section and Paragraph)</b>	<b>Description of Change</b>
Cover Page	Update IESO logo.
Section 1.3	Clarify the role of the Technical Panel.
Section 1.5	Update contact information.
Table 3-1	Update section 3A.21 to reflect Technical Panel role under new Terms of Reference.
Table 3-1	Update sections 3A.11, 3A.12, 3A.25 and 3A.26 to remove references to the “Market Rule Amendment Written Submission Form” which is no longer used.
Appendix A	Remove “Market Rule Amendment Written Submission Form” and “Market Rule Interpretation Bulletin Form” which are no longer used.
References	Update to add new Technical Panel Terms of Reference.
All	References to the Interpretation Bulletin process deleted and moved to the Compliance and Enforcement Guidance (CEG) process.
All	Removal of mail and courier as a form of communication.



# Market Manuals

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The *market manuals* consolidate the market procedures and associated forms, standards, and policies that define certain elements relating to the operation of the *IESO-administered markets*. Market procedures provide more detailed descriptions of the requirements for various activities than is specified in the "Market Rules". Where there is a discrepancy between the requirements in a document within a *market manual* and the "Market Rules", the "Market Rules" shall prevail. Standards and policies appended to, or referenced in, these procedures provide a supporting framework.

## Market Procedures

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The "Market Administration Manual" is Volume 2 of the *market manuals*, where this document forms "Part 2.3: Market Rule Amendment Procedure".

A list of the other component part of the "Market Administration Manual" is provided in "Part 2.0: Market Administration Manual Overview", in Section 2, 'About This Manual'.

## Structure of Market Procedures

Each Market Procedure is composed of the following sections:

1. **"Introduction"**, which contains general information about the procedure, including an overview, a description of the purpose and scope of the procedure, and information about roles and responsibilities of the parties involved in the procedure.
2. **"Procedural Work Flow"**, which contains a graphical representation of the steps and flow of information within the procedure.
3. **"Procedural Steps"**, which contains a table that describes each step and provides other details related to each step.
4. **"Appendices"**, which may include such items as forms, standards, policies, and agreements.

## Conventions

The *market manual* standard conventions are as defined in the "Market Manual Overview" document.

– End of Section –

# 1. Introduction

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## 1.1 Purpose

This procedure describes the activities required by *IESO* staff, *market participants*, the *technical panel* and the *IESO Board*, and others to initiate, process and make an *amendment* to the “Market Rules”. The procedure describes the *amendment* process in accordance with section 4 of Chapter 3 of the “Market Rules”. It addresses the processes for:

- general *amendments* that follow the standard *amendment* process (refer to section 4.3 of Chapter 3 of the “Market Rules”);
- *urgent amendments* that require immediate implementation (refer to section 4.6 of Chapter 3 of the “Market Rules”);
- minor *amendments* that are judged to have minimal impact on market operations (refer to section 4.7 of Chapter 3 of the “Market Rules”); and
- *amendments* that are initiated by an *Ontario Energy Board (OEB)* order under sections 33(6), 34(6), 35(6) or 38(4) of the *Electricity Act 1998* (refer to section 4.8 of Chapter 3 of the “Market Rules”).
- *amendments* that have been revoked by the *OEB* under sections 33.(3) and 34.(2.2) of the *Electricity Act 1998*.

## 1.2 Scope

This procedure is intended to provide *market participants* and other interested persons with a summary of the steps and interfaces involved in the “Market Rule Amendment Procedure”. The procedural workflows and steps described in this document serve as a roadmap for *market participants* and other interested persons, and reflect the requirements set out in the “Market Rules” and applicable *IESO* policies and standards.

The overview information in Section 1.3, below, is provided for context purposes only, highlighting the main actions that comprise the procedure as illustrated in Section 2 and described in Section 3.

## 1.3 Overview

The *IESO Board* may make an *amendment* to the “Market Rules” in accordance with the procedures contained herein. These procedures follow the process for amending the “Market Rules” as provided for within the “Market Rules” themselves (Chapter 3 section 4). The process involves the *technical panel*, *IESO* staff and/or external parties to various degrees as may be required by the “Market Rules” or as is determined to be necessary to achieve the specific *amendment*.

The *technical panel* is a panel of the *IESO Board* that has been expressly created to support the *IESO Board* in the *amendment* process. The duties of the *technical panel* are to review *amendments* to the “Market Rules” on an on going basis and advise the *IESO Board* on such specific technical issues as may be referred to the *technical panel*. In exercising its duties, the *technical panel* must comply with all applicable provisions of the “Market Rules”.

It is recognized that in certain instances, *amendments* must be achieved in very short order and both legislation and the “Market Rules” provide for a process for dealing with *such urgent amendments*. To support the *IESO Board* in the development, consideration and making of *urgent amendments*, an *urgent rule amendment committee* of the *IESO Board* is established and authorized through the *IESO Governance and Structure By-law*.

Typically the *amendment* process begins with the submission of a request for an *amendment*. This is called an *amendment submission*. Such a submission may be initiated by the *technical panel*, the *IESO* or may be submitted by any person external to the *IESO*, including the *OEB* or other public body.

The *IESO Board* may also independently determine that an *amendment* to the “Market Rules” is required. In such instances, the *IESO Board* shall at its discretion communicate with and involve the *technical panel* and external interested parties in accordance with this procedure.

There is a provision in both the *Electricity Act, 1998* and in the “Market Rules” for the *Ontario Energy Board (OEB)* to make an order referring an *amendment* back to the *IESO* for further consideration or an order directing the *IESO* to *amend* the “Market Rules” in a manner and within the time specified by the *OEB*. Upon receipt of such an order, the *IESO Board* may direct the *technical panel* to consider the *amendment* or the *IESO Board* may make the *amendment* itself.

The *technical panel* and the *IESO Board* may consult with other parties, including *market participants* and the requesting person, and invite written submissions regarding an *amendment submission* or proposed *amendment*. In addition, they may hold public meetings to facilitate such consultation.

Transparency of the *amendment* process is achieved through the publication and notification to *market participants* of the status of *amendments*, proposals and decisions made regarding these *amendments* by the *technical panel*, *urgent rule amendment committee* and the *IESO Board*. Openness of the process is achieved through the opportunity of the public to make written submissions on *amendments* as well as attend public meetings, on applicable occasions, in order to provide input on an *amendment*.

Under section 32.(6) of the *Electricity Act, 1998*, the *IESO* is obligated to assess the impact of any *amendment* on the interests of consumers with respect to prices and the *reliability* and quality of electricity service prior to the *IESO Board* making an *amendment*. The *IESO* is obligated to provide the *OEB* with a copy of a recommended *amendment* and the assessment before the *IESO Board* meeting at which the subject *amendment* will be approved. The *IESO* must also provide the *OEB* with a copy of any approved *amendment*, statements of the members of the *IESO Board*, if any, and a summary of any comments or discussions as required under section 33.(2) and 34 (2.1) of the *Electricity Act, 1998* on or before the date that the approved rule is *published*.

## 1.4 Roles and Responsibilities

While the *IESO Board* has the authority and responsibility to *amend* the “Market Rules”, responsibility for carrying out the *amendment* and publication of “Market Rules” procedure is shared among:

- **IESO staff**, who are responsible for:
  - receiving, recording and acknowledging receipt of *amendment submissions* from *market participants* and other interested persons;
  - receiving and recording *amendment submissions* or orders from the *OEB*;
  - preparing *amendment* proposals, recommendations, reports, and assessments for the *OEB*;
  - consulting with selected persons;
  - *publishing amendment submission* details, proposals, recommendations, reports and decisions within established timelines;
  - providing information to the *OEB* required by section 32.(6) of the *Electricity Act, 1998*.
  - giving notice of *amendment* publications, requests for written submissions, recommendations, decisions and meetings;
  - assessing *urgent amendments*; and
  - providing information to the *OEB* required by sections 33.(2) and 34.(2.1) of the *Electricity Act, 1998*.
- **Market Participants and other interested persons**, who are responsible for:
  - documenting, preparing, supporting, and making *amendment submissions*;
  - providing additional data as requested by the *IESO*;
  - attending special meeting called by the *IESO Board* or *technical panel* on specific *amendment* issues; and
  - reviewing and commenting on *published amendment submissions* and recommended/proposed *amendments*.
- The **technical panel**, which may be responsible for:
  - assessing if consideration of an *amendment submission* is warranted;
  - recommending whether an *amendment submission* is general or minor;
  - assessing *amendment submissions*, developing *amendment* proposals and recommendations, and consulting with other parties, including *market participants*, as part of this process;
  - voting on proposed *amendments* and making recommendations to the *IESO Board* and
  - submitting reports containing recommended *amendments*, and other required information as indicated in section 4.3.14, Chapter 3 of the “Market Rules”, to the *IESO Board* for approval

The *IESO Board* may, at its discretion, carry out the above function described for the *technical panel*.

- The ***IESO Board***, which may be responsible for:
  - assessing and making *urgent amendments*;
  - confirming, modifying or rejecting *urgent amendments* made by the *urgent rule amendment committee*;
  - assessing if consideration of an *amendment submission* is warranted or reviewing *technical panel*'s determination that an *amendment submission* warrants consideration;
  - determining whether *amendment submissions* are general or minor;
  - assessing *amendment submissions*, developing *amendment proposals* and recommendations, and consulting with other parties, including *market participants*, as part of this process;
  - approving, with or without changes, or rejecting the recommendations from the *technical panel* regarding *amendments* or referring the recommended *amendments* back to the *technical panel* or to another person for further consideration; and
  - approving and making *amendments*.
- The ***urgent rule amendment committee***, which is responsible for:
  - assessing and making *urgent amendments*.

## 1.5 Contact Information

If the *market participant* wishes to contact the *IESO*, the *market participant* can contact *IESO* Customer Relations via email at [customer.relations@ieso.ca](mailto:customer.relations@ieso.ca) or via telephone at the numbers given on the *IESO*'s Web site ([www.ieso.ca](http://www.ieso.ca)). If the *IESO* Customer Relations Centre is closed, telephone messages or emails may be left in relevant voice or electronic *IESO* mail boxes, which will be answered as soon as possible by Customer Relations staff.

Forms that *market participants* may complete for this procedure as well as any accompanying supporting documentation can be submitted to the *IESO* via email by using the appropriate address provided on the form. These forms are available for downloading on the *IESO*'s public Web site and are listed in Appendix A. Correspondence that is sent to the *IESO* related to this procedure shall be sent **Attention: Market Rules**.

– End of Section –

## 2. Procedural Work Flow

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In this and the other work flows in Section 2, the “IESO” column includes activities undertaken by the *IESO* staff, the *technical panel* and the *IESO Board*. The specific body undertaking the step is identified.

In this and the other work flows in Section 2, the “Other Parties Including *Market Participants*” column is intended to represent the public and all *market participants*, unless otherwise identified in the specific task.

In this and the other work flows in Section 2, the “External Requesting Person” is the person who makes the *amendment submission*. This person may be a *market participant* or any other person.

\* Please note that, the general provisions in Section 2 represent the standard process followed by the *IESO* with respect to *amendments* of the *market rules*. However, as described under section 1.4, the *IESO Board* may, at its discretion, carry out the responsibilities of the *technical panel*. Therefore within the work flows of Section 2, references to the *technical panel* can also be considered references to the *IESO Board*.

### 2.1 General Amendment of Market Rules

The following diagram represents the flow of work and information for general provisions for the *amendment* of the “Market Rules” among the *IESO*, *market participants*, and other interested persons.

The steps shown in the following chart are described in detail in Section 3.1.

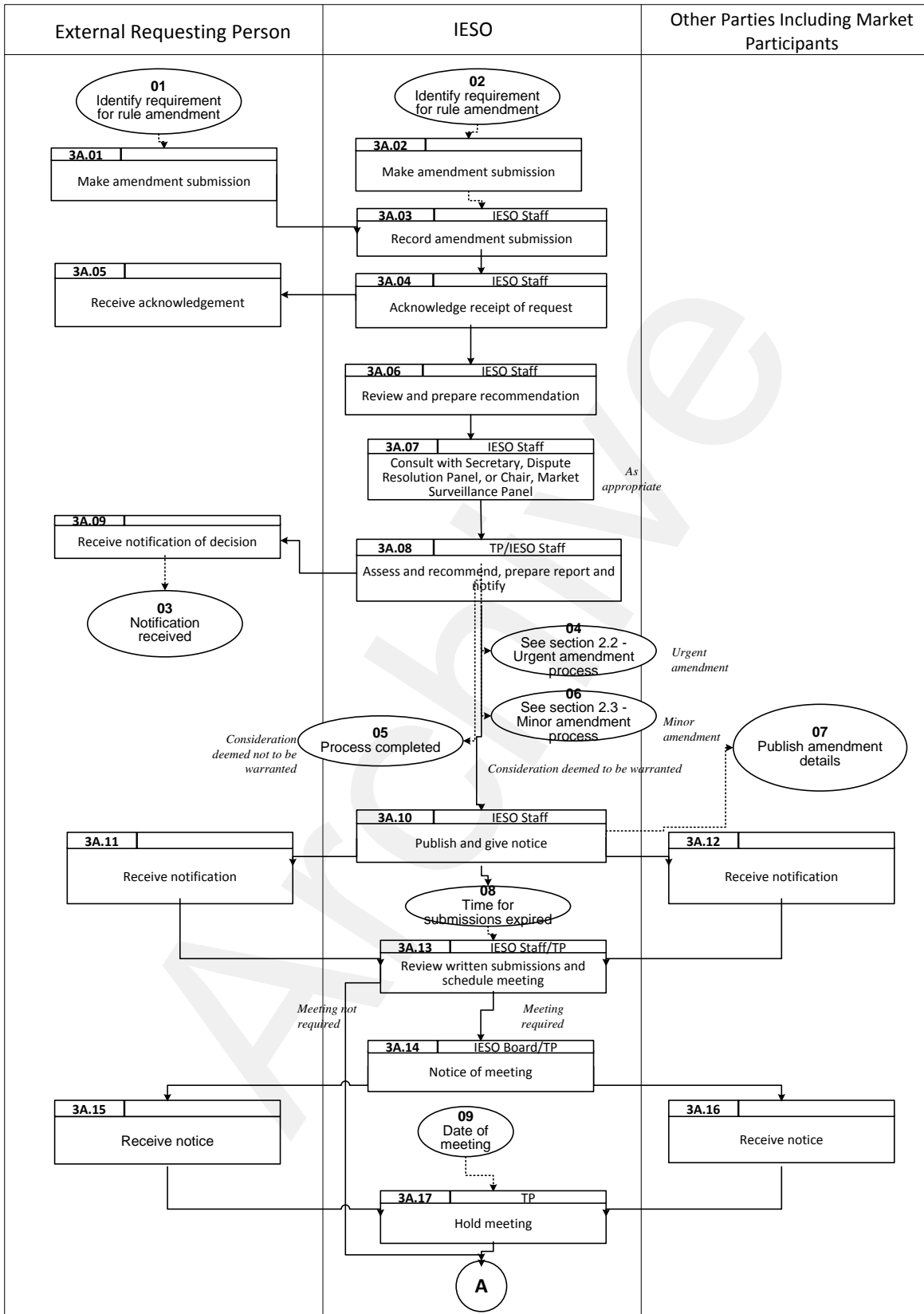


Figure 2-1: Procedural Work Flow for General Amendment to Market Rules

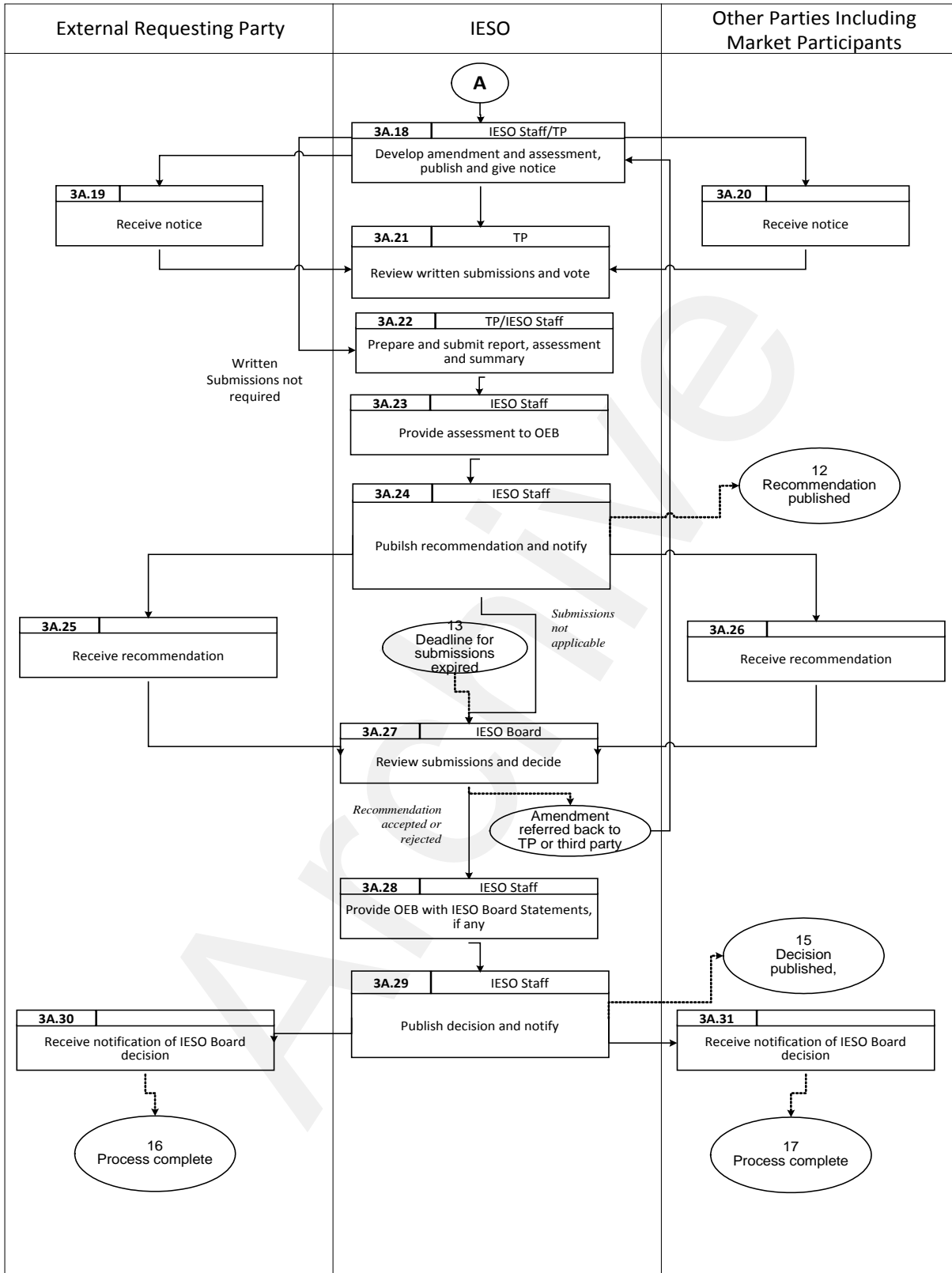


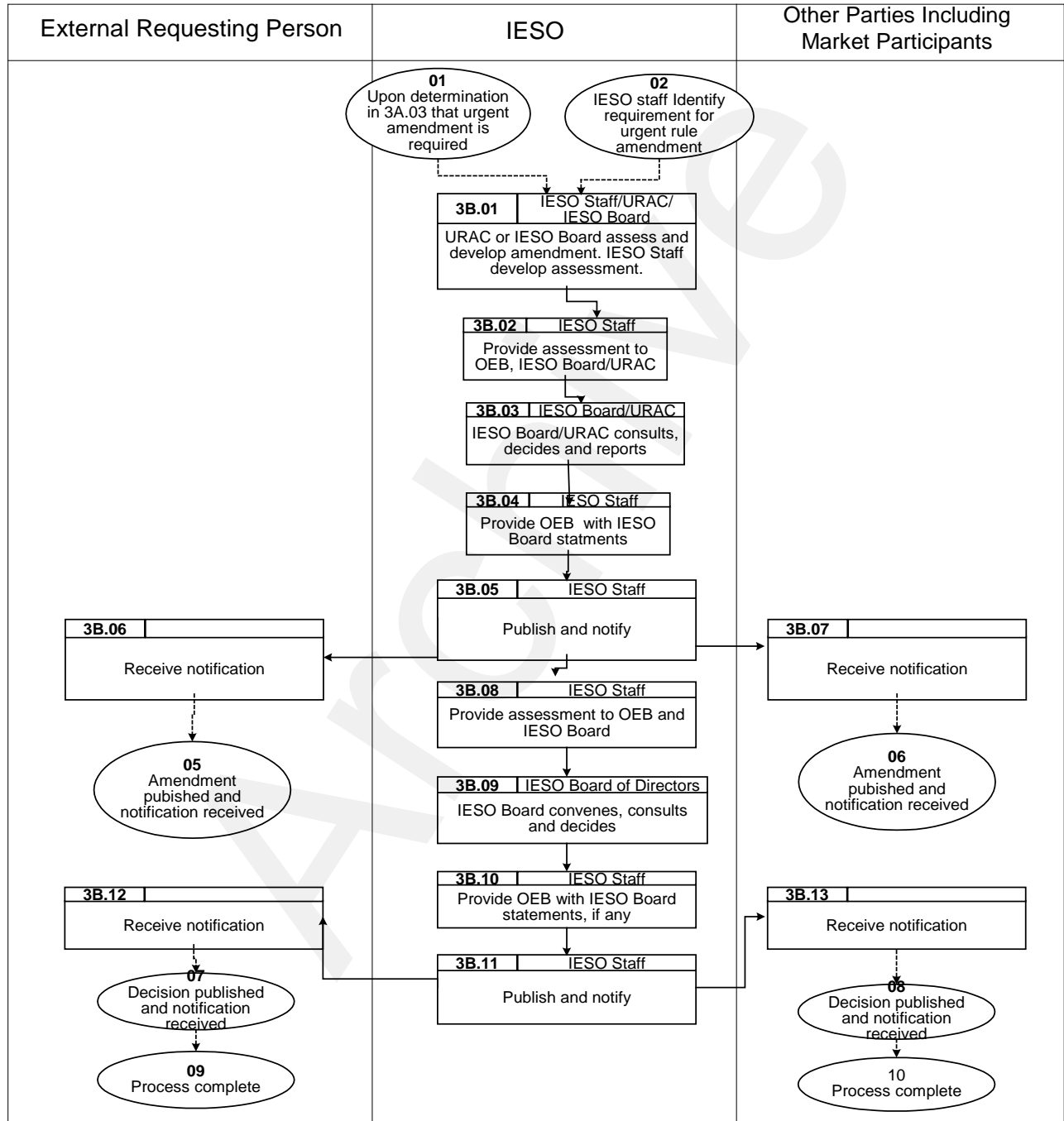
Figure 2–1: Procedural Work Flow for General Amendment to Market Rules cont’d



## 2.2 Urgent Amendment to Market Rules

The following diagram represents the flow of work and information related to the *urgent amendment* of the “Market Rules” among the *IESO*, *market participants* and selected persons.

The steps shown in the following chart are described in detail in Section 3.2.



**Figure 2–2: Procedural Work Flow for Urgent Amendment to Market Rules**

## 2.3 Minor Amendment of Market Rules

The following diagram represents the flow of work and information related to the *minor amendment* of the “Market Rules” among the *IESO*, *market participants*, and selected persons. The steps shown in the following chart are described in detail in Section 3.3.

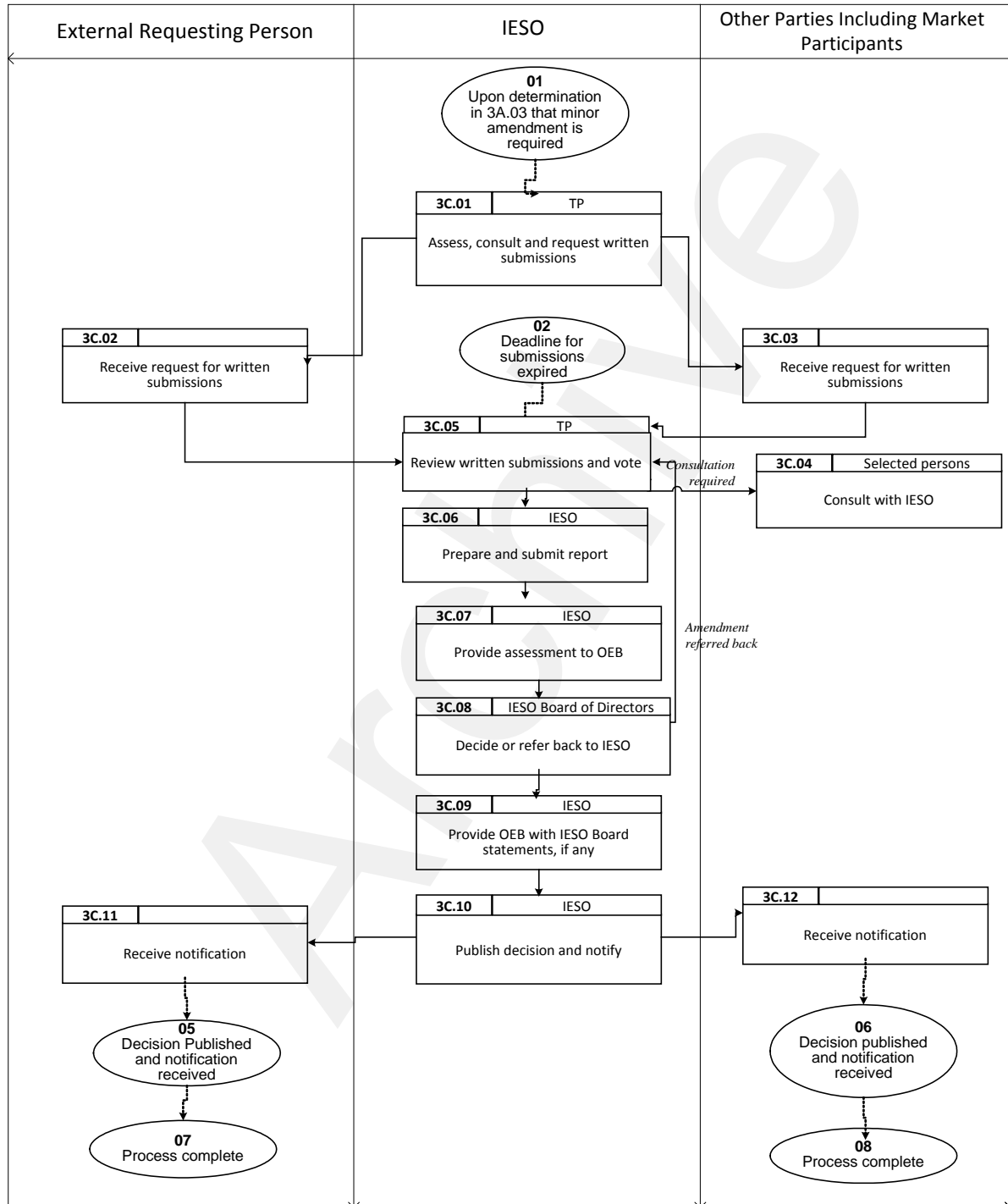
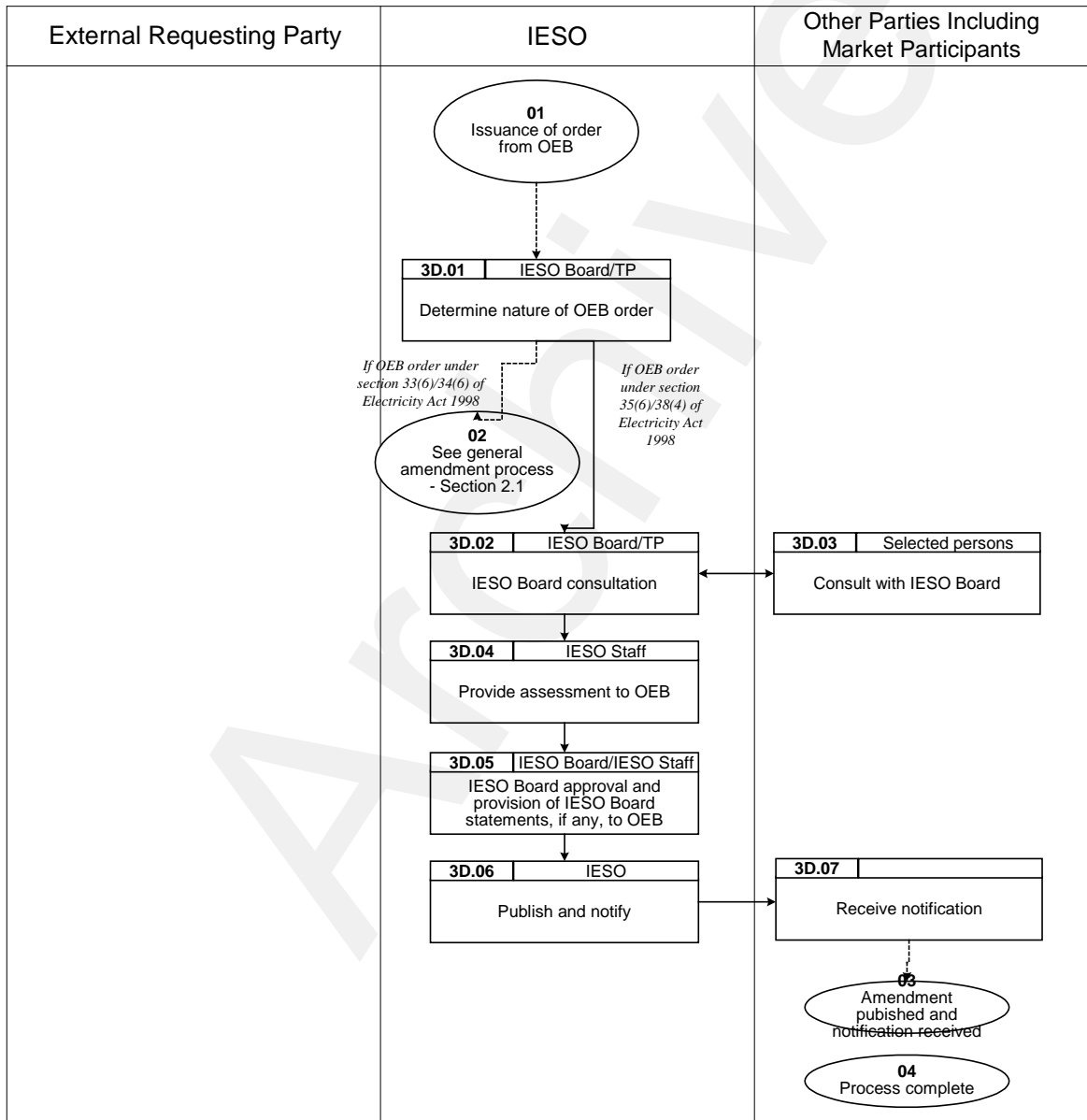


Figure 2–3: Procedural Work Flow for Minor Amendment to Market Rules

## 2.4 Amendment of the Market Rules Ordered by the Ontario Energy Board (OEB)

The following diagram represents the flow of work and information related to the *amendment* and publication of the “Market Rules” ordered by the *Ontario Energy Board (OEB)* among the *IESO*, *market participants*, the *OEB*, and selected persons.

The steps shown in the following chart are described in detail in Section 3.4.

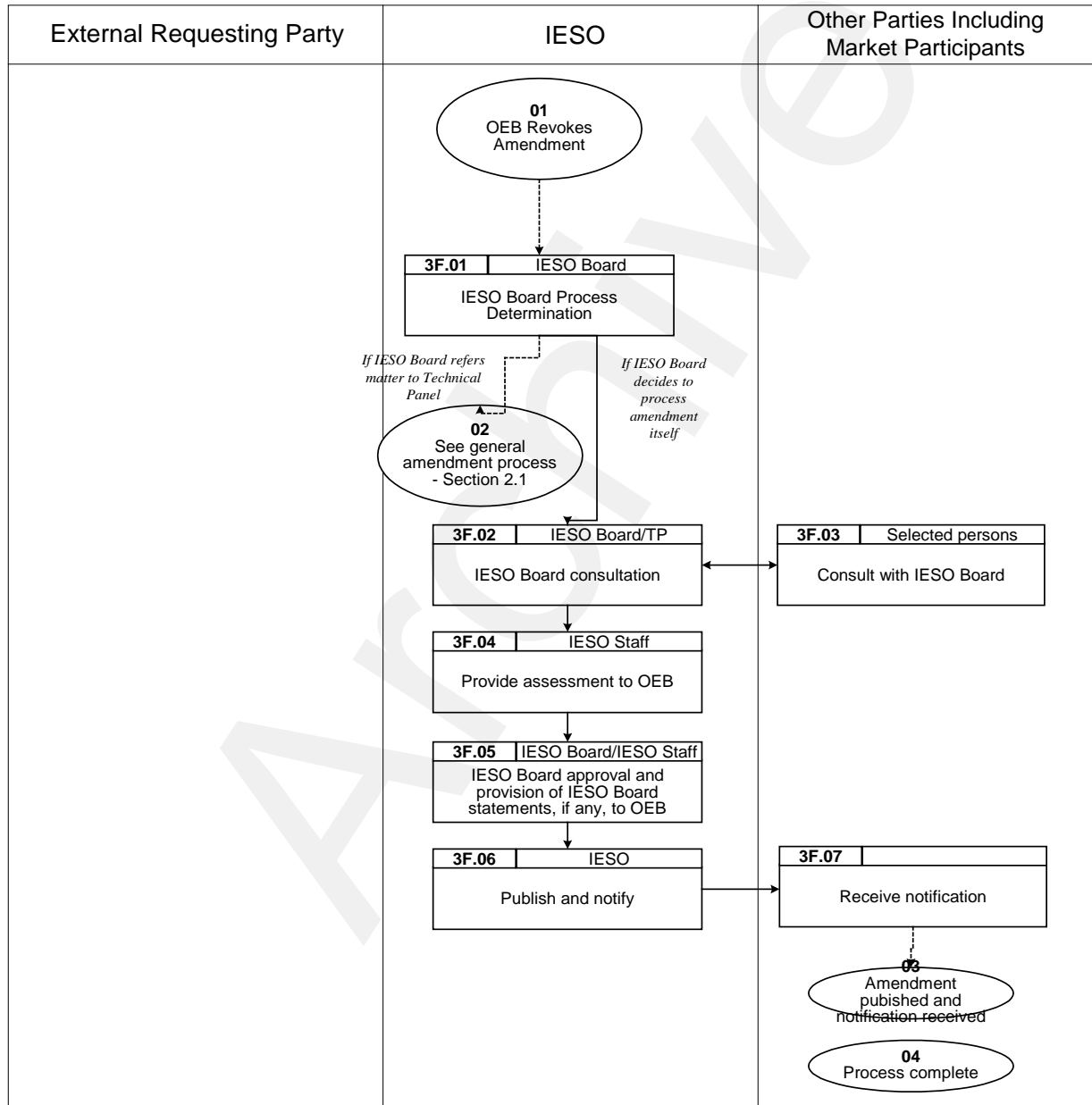


**Figure 2–4: Procedural Work Flow for Amendment of the Market Rules Ordered by the OEB**

## 2.5 Amendment of the Market Rules Revoked by the OEB

The following diagram represents the flow of work and information related to the *amendment* and publication of the “Market Rules” revoked by the *OEB* among the *IESO*, *market participants*, the *OEB*, and selected persons.

The steps shown in the following chart are described in detail in Section 3.5.



**Figure 2–5: Procedural Work Flow for Amendment of the Market Rules Revoked by the OEB**

**– End of Section –**

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## 3. Procedural Steps

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This section contains detail on the tasks (steps) associated with the *amendment* of the “Market Rules”. The following tables contain seven columns, as follows:

### Ref

The numerical reference to the task.

### Task Name

The task name as identified in Section 2.

### Task detail

Detail about the task.

### When

A list of all the events that can trigger commencement of the task.

### Resulting information

A list of the information flows that may or must result from the task.

### Method

The format and method for each information flow are specified.

### Completion events

A list of all the circumstances in which the task should be deemed finished.

\* Please note that, the general provisions in Section 3 represent the standard process followed by the *IESO* with respect to *amendments* of the *market rules*. However, as described under section 1.4, the *IESO Board* may, at its discretion, carry out the responsibilities of the *technical panel*. Therefore within the work flows of Section 2, references to the *technical panel* can also be considered references to the *IESO Board*.

### 3.1 General Amendment of Market Rules

The following table represents the flow of work and information related to the *amendment* of the “Market Rules” initiated by the public, the *IESO*, *technical panel* or *market participants*. The steps shown in the following table are those represented in the work flow detailed in Section 2.1.

**Table 3–1: Procedural Steps for General Amendment of Market Rules**

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.01	Make <i>amendment submission</i> .	Person makes <i>amendment submission</i> to the <i>IESO</i> to <i>amend</i> or review the “Market Rules”.	On identifying a requirement for an <i>amendment</i> to or review of the “Market Rules”.	<i>Amendment submission</i> and supporting information.	E-mail using “Market Rule Amendment Submission Form”.	Receipt of <i>amendment submission</i> by the <i>IESO</i> .
3A.02	Make <i>amendment submission</i> .	<i>IESO</i> staff makes <i>amendment submission</i> to <i>amend</i> or review the “Market Rules”.	On identifying a requirement for an <i>amendment</i> to or review of the “Market Rules”.	<i>Amendment submission</i> and supporting information.	E-mail using “Market Rule Amendment Submission Form”.	Receipt of <i>amendment submission</i> by other <i>IESO</i> staff.

Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.03	Record amendment submission.	<p><i>IESO</i> staff record and log the amendment submission. Determine if the amendment submission raises a minor or urgent amendment.</p> <p>If the amendment submission is determined to be urgent, see Section 2.2 – Urgent amendment process.</p> <p>If the amendment submission is determined to be minor see Section 2.3 – Minor amendment process.</p>	On receipt of amendment submission.	Record.	Internal process.	Record made. Determination of minor or urgent amendment.
3A.04	Acknowledge receipt of amendment submission.	<i>IESO</i> staff acknowledge receipt of amendment submission and, if submission incomplete, request additional information.	On receipt of amendment submission and identification of incomplete submissions.	Acknowledgement of receipt and request for additional information.	E-mail.	Receipt of acknowledgement and request for additional information.
3A.05	Receive acknowledgement.	Requesting person receives acknowledgement of receipt and request for additional information and provides the information.	Following 3A.04, where additional information required	Additional information.	E-mail.	Information provided.



Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.06	Review and prepare recommendation.	<i>IESO</i> staff review and prepare recommendation on <i>amendment submission</i> to submit to the <i>IESO Board</i> or the <i>technical panel</i> .	Following 3A.04 and 3A.05, if applicable.	Recommendation.	Review and recommendation preparation is internal process.	Recommendation delivered.
3A.07	Consult with Secretary, <i>Dispute Resolution Panel</i> , or Chair, <i>Market Surveillance Panel</i> .	The <i>IESO</i> staff discusses impact of proposed <i>amendment</i> on sections 2 and 3 of Chapter 3 of the “Market Rules” with the Secretary, <i>Dispute Resolution Panel</i> and the Chair, <i>Market Surveillance Panel</i> , respectively, where the <i>amendment</i> impacts section 2 or section 3 of Chapter 3 of the “Market Rules”.	During consideration of <i>amendment submission</i> and/or development of proposed and recommended <i>amendment</i> .	Determination of <i>market rule amendment</i> impacts on Dispute Resolution and/or Market Surveillance activities.	Internal process.	Assessment of <i>market rule</i> impact completed.
3A.08	Assess and decide, prepare report and notify.	The <i>technical panel</i> determines whether consideration of the <i>amendment submission</i> is warranted and the priority to be assigned to the development, either high priority or regular priority, see Appendix B.4. Upon assessment, using criteria listed in Appendix B, <i>IESO</i>	Following 3A.06 and 3A.05, if applicable, if <i>amendment submission</i> is to follow this process.	Report to <i>IESO Board</i> and notification to requesting person.	E-mail to <i>IESO Board</i> and e-mail to requesting person.	Recommendation made as to whether consideration of the <i>amendment submission</i> is warranted as a high priority or regular priority item. Notice delivered.

**Table 3–1: Procedural Steps for General Amendment of Market Rules**

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
		<p>staff prepares a report to submit to the <i>IESO Board</i> and the requesting person is notified. The report to the <i>IESO Board</i> includes <i>amendment submission</i> details and other required information as indicated in section 4.3.14, Chapter 3 of the “Market Rules”.</p> <p>The <i>technical panel</i> may request additional information from the requesting person regarding the <i>amendment submission</i>. The <i>IESO Board/technical panel</i> may also request <i>written submissions</i> from stakeholders regarding the <i>amendment submission</i>.</p> <p>If the <i>amendment submission</i> is determined not to be warranted, the process is completed, subject to the <i>IESO Board</i> reversing the decision.</p>				

Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.09	Receive notification of decision.	Requesting person receives notification as to whether the <i>technical panel</i> determined that the <i>amendment submission</i> is warranted.	Following 3A.07.	Notice.	E-mail.	Requesting person receives notification.
3A.10	<i>Publish and give notice.</i>	For those <i>amendment submissions</i> that are judged to warrant further consideration, <i>IESO</i> staff <i>publishes</i> details of the <i>amendment submission</i> , <i>technical panel</i> comments, requests for <i>written submissions</i> (if applicable) and notifies <i>market participants</i> , other parties and the requesting person of these details.	Following determination in 3A.07 that <i>amendment</i> is warranted.	Details of <i>amendment submission</i> and <i>technical panel</i> comments.  Notification and, possibly, invite for submissions.	Publication: <i>IESO</i> public Web site.  Notification: E-mail.	Details of <i>amendment submission published</i> and possible notification of invitation for written submissions.
3A.11	Receive notification.	Requesting person receives notification and, if applicable, request for written submissions regarding the <i>amendment submission</i> and may respond, if desired.  Responses may include a request for an open meeting.	Following step 3A.09 and within the timeframe stated in the invitation for written submissions.	Written submission.  Request for open meeting.	Written Submission: E-mail.	Notification received. If applicable, submission delivered, where desired.

Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.12	Receive notification.	Interested parties receive notification and, if applicable request for written submissions regarding the <i>amendment submission</i> and may respond, if desired.  Responses may include a request for an open meeting.	Following step 3A.09 and within the timeframe stated in the invitation for written submissions.	Written submission.	Written Submission: E-mail.	Submission delivered, where desired.
3A.13	Review written submissions and schedule meeting.	The <i>technical panel</i> and <i>IESO</i> staff reviews the written submissions and may schedule a meeting with interested parties, including <i>market participants</i> , where it decides that this is appropriate for consideration of the matter at hand, and, if applicable, informs the <i>IESO Board</i> of the meeting.	Following the expiry of the time for submissions set out in step 3A.09 and at least 7 days prior to any meeting that is scheduled.	Schedule for meeting, if required, including the date, time and venue for meeting.	E-mail to <i>IESO Board</i> .	Decision as to whether a meeting will be scheduled.
3A.14	Notice of meeting.	<i>IESO</i> staff send notice of meeting, if applicable, to external requesting party and other parties including <i>market participants</i> no less than 7 days prior to the date of the meeting. Details will be <i>published</i> on the web site.	Following 3A.12, if applicable.	Meeting date.	Publication: <i>IESO</i> public Web site Notification: E-mail.	Notification sent.

**Table 3–1: Procedural Steps for General Amendment of Market Rules**

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.15	Receive notice of meeting.	Requesting person receives notification of meeting scheduled to discuss proposed <i>amendment</i> and attends meeting, if desired.	Following 3A.13, if meeting scheduled.	Notice.	E-mail.	Notice of meeting received.
3A.16	Receive notice of meeting.	Other parties, including <i>market participants</i> , receive notification of meeting scheduled to discuss proposed <i>amendment</i> and attend meeting, if desired.	Following 3A.13, if meeting scheduled.	Notice.	E-mail.	Notice of meeting received.
3A.17	Hold public meeting.	The <i>technical panel</i> holds public meetings to discuss <i>amendment submission</i> .	As set out in notice of meeting.	Summary notes of meeting.	Public input can be sent via e-mail.	Receipt of public input.

Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.18	Develop <i>amendment</i> and assessment, <i>publish</i> and give notice.	<p><i>IESO</i> staff/<i>technical panel</i> develop proposed <i>amendment</i> using the “Market Rule Amendment Proposal Form”.</p> <p><i>IESO</i> staff develops an assessment of the impact of the <i>amendment</i> on the interests of consumers with respect to prices and the <i>reliability</i> and quality of electricity service.</p> <p><i>IESO</i> staff may, at request of <i>technical panel</i> and/or <i>IESO Board</i> <i>publish</i> and give notice of the proposed <i>amendment</i> and invite the requesting person and other parties, including <i>market participants</i>, to make written submissions.</p>	Following 3A.13 or 3A.16, if meeting held.	<p>Details of <i>amendment submission</i>.</p> <p>Notification and invite for submissions.</p>	<p>Publication: <i>IESO</i> public Web site,</p> <p>Notification: E-mail.</p>	<p><i>Publish</i> and notification of complete <i>amendment</i> proposal.</p> <p>Invite for written submissions.</p>
3A.19	Receive notice.	Requesting person receives request for written submissions regarding the proposed <i>amendment submission</i> and may respond, if desired.	Following step 3A.18 and within the timeframe stated in the invitation for written submissions.	Written submission.	E-mail.	Submission delivered, where desired.
3A.20	Receive notice.	Other parties, including <i>market participants</i> , receive request for written submissions regarding the <i>amendment submission</i> and may respond, if desired.	Following step 3A.18 and within the timeframe stated in the invitation for written submissions.	Written submission.	E-mail.	Submission delivered, where desired.

Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.21	Review written submissions and vote.	The <i>technical panel</i> reviews the written submissions, considers proposed <i>amendment</i> , makes changes as required and votes on proposed <i>amendment</i> .	Following step 3A.17 & 3A.18.	Vote.	Each <i>Technical Panel</i> member will vote whether they are in favour or opposed to the proposed rule amendment and may provide their reason/rationale for their stated position.	Vote.
3A.22	Prepare and submit report, assessment and summary.	If applicable, <i>technical panel</i> and <i>IESO</i> staff prepare a report with recommended <i>amendment</i> details and submit to the <i>IESO Board</i> along with the assessment described in Step 3A.18 and summaries of any comments or discussions as required under section 33 (1.1) of the <i>Electricity Act, 1998</i> .	Following 3A.21.	Report to <i>IESO Board</i> .	The <i>technical panel</i> Chair submits report on behalf of the <i>technical panel</i> .	Report delivered.
3A.23	Provide assessment to <i>OEB</i>	If an <i>amendment</i> is recommended for <i>IESO Board</i> approval, <i>IESO</i> staff provides the <i>OEB</i> with the assessment described in step 3A.18 and the recommended <i>amendment</i> .	Following step 3A.22.	Assessment and recommended <i>amendment</i> .	<i>IESO</i> staff prepares report and submits via email to the <i>OEB</i> .	Assessment and recommended <i>amendment</i> provided to the <i>OEB</i> .

Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.24	<i>Publish</i> recommendation and notify.	<i>IESO</i> staff publishes the recommendation to the <i>IESO Board</i> regarding the recommended proposed <i>amendment</i> and notifies requesting person and other parties, including <i>market participants</i> . <i>IESO</i> staff shall, at request of <i>technical panel</i> , invite written submissions to the <i>IESO Board</i> on the recommended <i>amendment</i> .	Following 3A.22.	Report for publication. Notification of recommendation and invitation to make written submissions	Publication: <i>IESO</i> public Web site.  Notification: E-mail.	Recommendation <i>published</i> and notification given.
3A.25	Receive recommendation.	The requesting person receives notification of the recommendation.  If invited, the requesting person may submit written submissions regarding the recommendation to the <i>IESO Board</i> .	Within 7 <i>business days</i> of 3A.21, where the recommended <i>amendment</i> differs materially from the original <i>amendment submission</i> .	Written submission regarding the recommendation, where applicable.	E-mail.	Submission made, where applicable.
3A.26	Receive recommendation.	The other parties, including <i>market participants</i> , receive notification of the recommendation.  If invited, the person may submit written submissions regarding the recommendation to the <i>IESO Board</i> .	Following 3A.24 and within timeframe for submissions specified in notification.	Written submission regarding the recommendation, where applicable.	E-mail.	Submission made, where applicable.



Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.27	Review submissions and decide	<p>The <i>IESO Board</i> of Directors receives written submissions regarding the <i>amendment</i>, as appropriate.</p> <p>The <i>IESO Board</i> shall either:</p> <ul style="list-style-type: none"> <li>• accept the recommendation as recommended or modified by <i>IESO Board</i>;</li> <li>• reject the recommendation;</li> <li>• refer the matter back to the <i>technical panel</i> for further consideration.</li> </ul>	Following step 3A.26 or, where written submissions are applicable, following the deadline for their submission.	None.	Internal.	Decision made regarding the recommendation.
3A.28	Provide <i>OEB</i> with <i>IESO Board</i> statements.	If the <i>IESO Board</i> approves an <i>amendment</i> , <i>IESO</i> staff provides the <i>OEB</i> with a copy of the approved <i>amendment</i> , statements of members of the <i>IESO Board</i> disagreeing with the assessment described in task 3A.18, if any, and other information required under section 33. (2) of the <i>Electricity Act, 1998</i> .	Following step 3.A.27	Statements of the <i>IESO Board</i> , if any, and other required information.	<i>IESO</i> staff submits the approved <i>amendment</i> to the <i>OEB</i> via email.	Approved amendment and other required information provided to the <i>OEB</i> .

Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.29	<i>Publish decision and notify.</i>	<i>IESO staff publishes the approved amendment at least 22 days before the amendment comes into force and gives notice of the decision of the IESO Board to other parties, including market participants, the OEB and the requesting person.</i>	Following step 3A.28.	<i>Amendment accepted: Decision and amendment published.</i>  <i>Notification to other parties, including market participants, the OEB and requesting person.</i>	Publication: <i>IESO public Web site.</i>  Notification: E-mail.	<i>Decision published and notification sent.</i>
		<i>Where the amendment is rejected or the IESO Board instructs the technical panel to undertake further consideration of the amendment, the decision is published and other parties, including market participants, and the requesting person are notified.</i>		<i>Amendment rejected or IESO directed to undertake further review: Decision published.</i>  <i>Notification to other parties, including market participants, the OEB and requesting person.</i>	Publications: <i>IESO public Web site.</i>  Notification: E-mail.	<i>Decision published and notification sent.</i>

Table 3–1: Procedural Steps for General Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3A.30	Receive notification of <i>IESO Board</i> decision.	Requesting person receives notification of <i>IESO Board</i> 's decision regarding the <i>amendment</i> , along with details of any <i>amendment</i> that is adopted by the <i>IESO Board</i> .	Following step 3A.29.	Notice.	E-mail.	Notification received.
3A.31	Receive notification of <i>IESO Board</i> decision.	Other parties, including <i>market participants</i> , receive notification of <i>IESO Board</i> 's decision regarding the <i>amendment</i> , along with details of any <i>amendment</i> that is adopted by the <i>IESO Board</i> .	Following step 3A.29.	Notice.	E-mail.	Notification received.

## 3.2 Urgent Amendment of Market Rules

The following table represents the steps and information related to the *urgent amendment* of the “Market Rules”. The steps shown in the following table are those represented in the work flow detailed in Section 2.2.

**Table 3–2: Procedural Steps for Urgent Amendment of Market Rules**

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3B.01	<i>Urgent rule amendment committee (URAC), IESO Board, IESO staff assess and develop amendment. IESO Staff develop assessment.</i>	<p>The <i>urgent rule amendment committee (URAC), IESO staff, other parties including market participants or IESO Board</i> identifies need for an <i>urgent amendment</i> and <i>IESO staff, technical panel</i> and/or <i>IESO Board</i> develops <i>amendment</i> using the “Market Rule Amendment Proposal Form”.</p> <p><i>IESO staff</i> develops an assessment of the impact of the <i>urgent amendment</i> on the interests of consumers with respect to prices and the <i>reliability</i> and quality of electricity service.</p>	Upon determination in 3A.03 that an <i>urgent amendment</i> is required or an <i>urgent amendment</i> is identified by the <i>IESO staff</i> or others.	Identification, <i>amendment</i> and assessment.	Internal process.	Identification of need for and development of <i>amendment</i> and assessment completed.

Table 3–2: Procedural Steps for Urgent Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3B.02	Provide assessment to <i>IESO Board/URAC</i> .	<i>IESO</i> staff provides the <i>OEB</i> and <i>IESO Board/URAC</i> with the assessment described in step 3B.01 and the recommended <i>amendment</i> . The <i>IESO Board/URAC</i> also receives summaries of any comments or discussions as required under section 33 (1.1) of the <i>Electricity Act, 1998</i> .	Following step 3B.01.	Assessment.	Internal process.	Recommended amendment and assessment provided to the <i>IESO Board/URAC</i> .
3B.03	<i>IESO Board/URAC</i> consults, decides and reports.	The <i>IESO Board/URAC</i> receives the <i>urgent amendment</i> report and consults with persons as it deems appropriate. The <i>IESO Board/URAC</i> meets to vote on the <i>urgent rule amendment</i> . If <i>URAC</i> makes the <i>amendment</i> , with assistance from <i>IESO</i> staff, <i>URAC</i> reports this decision to the <i>IESO Board</i> .	Following step 3B.02.	Decision.	Internal process.	Decision made.

Table 3–2: Procedural Steps for Urgent Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3B.04	Provide <i>OEB</i> with <i>IESO Board</i> statements.	If the <i>IESO Board/URAC</i> approves the <i>urgent amendment</i> , <i>IESO</i> staff provides the <i>OEB</i> with a copy of the approved <i>amendment</i> , statements of members the <i>IESO Board</i> disagreeing with the assessment described in task 3B.01, if any, and other information required under section 34 (2.1) of the <i>Electricity Act, 1998</i> .	Following step 3B.03.	Statements of the <i>IESO Board</i> , if any and other required information.	Internal.	Approved amendment, assessment, statements, if any, and other required information provided to the <i>OEB</i> .
3B.05	<i>Publish</i> and notify.	<i>IESO</i> staff forthwith <i>publishes</i> the <i>urgent amendment</i> made by <i>URAC/IESO Board</i> and notifies requesting person, other parties, including <i>market participants</i> , and <i>OEB</i> of <i>amendment</i> . The <i>amendment</i> is <i>published</i> at the same time or as soon as reasonably possible after the notice is sent to the <i>OEB</i> .	Following 3B.04.	Publication of <i>urgent amendment</i> .  Notification to requesting person and other parties, including <i>market participants</i> .	Publication: <i>IESO</i> public Web site. Notification: E-mail.	Publication complete and notification given.
3B.06	Receive notification.	Requesting person receives notification of the <i>amendment</i> .	Following step 3B.05.	Notice.	E-mail.	Notification received.

Table 3–2: Procedural Steps for Urgent Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3B.07	Receive notification.	Other parties, including <i>market participants</i> , receive notification of the <i>amendment</i> .	Following step 3B.05.	Notice.	E-mail.	Notification received.
3B.08	Provide assessment to <i>OEB</i> and <i>IESO Board</i> .	If the <i>urgent amendment</i> is made by <i>URAC</i> , <i>IESO</i> staff provides the <i>OEB</i> and <i>IESO Board</i> with the assessment described in step 3B.01 and the recommended <i>amendment</i> .	Following step 3B.03.	Assessment.	Internal process.	Assessment provided to the <i>IESO Board</i> and <i>OEB</i> .
3B.09	<i>IESO Board</i> convenes, consults and decides.	If the <i>urgent amendment</i> is made by <i>URAC</i> the <i>IESO Board</i> convenes to determine whether to confirm, modify or reject/stay the <i>amendment</i> previously approved by the <i>URAC</i> .	Upon acceptance of <i>amendment</i> by the <i>URAC</i> in 3B.08.	None.	Internal.	Determination made.

Table 3–2: Procedural Steps for Urgent Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3B.10	Provide <i>OEB</i> with <i>IESO Board</i> statements.	If the <i>IESO Board</i> ratifies the <i>urgent amendment</i> , <i>IESO</i> staff provides the <i>OEB</i> with a copy of the approved <i>amendment</i> , statements of members the <i>IESO Board</i> disagreeing with the assessment described in task 3B.01, if any, and other information required under section 34.(2.1) of the <i>Electricity Act, 1998</i> .	Following step 3B.09.	Statements of the <i>IESO Board</i> , if any, and summaries.	Email.	Statements, if any, and other required information provided to the <i>OEB</i> .
3B.11	<i>Publish</i> and notify.	The <i>IESO</i> staff <i>publishes</i> the <i>IESO Board</i> decision regarding the <i>urgent amendment</i> and notifies requesting person, other parties, including <i>market participants</i> , and the <i>OEB</i> .  Where the <i>amendment</i> has been modified or rejected/stayed the <i>IESO</i> will forthwith <i>publish</i> and give notice of the revised <i>amendment</i> or rejection/stay to the requesting person, other parties including market participants, and the <i>OEB</i> .	Following 3B.08.	Publication of <i>IESO Board</i> decision, with revised <i>urgent amendment</i> , if applicable.  Notification to <i>market participants</i> .	Publication: <i>IESO</i> public Web site.  Notification: Email.	Publication complete and notification given.



**Table 3–2: Procedural Steps for Urgent Amendment of Market Rules**

<b>Ref.</b>	<b>Task Name</b>	<b>Task Detail</b>	<b>When</b>	<b>Resulting Information</b>	<b>Method</b>	<b>Completion Events</b>
3B.12	Receive notification.	Requesting person receive notification of the <i>IESO Board</i> decision.	Following step 3B.09.	Notice.	E-mail.	Notification received.
3B.13	Receive notification.	Other parties, including <i>market participants</i> and the <i>OEB</i> , receive notification of the <i>IESO Board</i> decision.	Following step 3B.09.	Notice.	E-mail.	Notification received.

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### 3.3 Minor Amendment of Market Rules

The following table represents the steps and information related to the *minor amendment*. The steps shown in the following table are those represented in the work flow detailed in Section 2.3.

**Table 3–3: Procedural Steps for Minor Amendment of Market Rules**

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3C.01	Assess, consult and invite written submissions.	<p>The <i>technical panel</i> assesses the <i>minor amendment</i> and invites written submissions from <i>market participants</i> and other interested persons, where it determines that these are required to support its analysis.</p> <p><i>IESO</i> staff develops an assessment of the impact of the <i>minor amendment</i> on the interests of consumers with respect to prices and the <i>reliability</i> and quality of electricity service.</p>	Upon determination in 3A.07 that <i>minor amendment</i> is required.	Invite for written submissions, if required.	<i>IESO</i> public web site.	Invite for submissions submitted, if required.

**Table 3–3: Procedural Steps for Minor Amendment of Market Rules**

<b>Ref.</b>	<b>Task Name</b>	<b>Task Detail</b>	<b>When</b>	<b>Resulting Information</b>	<b>Method</b>	<b>Completion Events</b>
3C.02	Receive invite for written submissions.	Requesting person receives invitation for written submissions regarding the <i>minor amendment</i> and responds within the stated timeframe.	Following 3C.01, if written submissions invited.	Written submission, if desired.	E-mail.	Submission completed.
3C.03	Receive request for written submissions.	Other parties, including <i>market participants</i> , receive request for written submissions regarding the <i>minor amendment</i> and responds within the stated timeframe.	Following 3C.01, if written submissions invited.	Written submission, if desired.	E-mail.	Submission completed.

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Table 3–3: Procedural Steps for Minor Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3C.04	Consult with <i>IESO</i> .	Other parties contacted by the <i>IESO</i> consult with the <i>IESO</i> regarding the <i>minor amendment</i> , as requested by <i>IESO</i> .  The <i>IESO</i> discusses impact of proposed <i>amendment</i> on sections 2 and 3 of Chapter 3 of the “Market Rules” with the Secretary, <i>Dispute Resolution Panel</i> and the Chair, <i>Market Surveillance Panel</i> , respectively, where appropriate.	Following 3C.03, where required.	Consultation.	As appropriate through consultation medium.	Consultation complete.
3C.05	Review written submissions and vote.	The <i>technical panel</i> reviews the <i>minor amendment</i> and any written submissions from <i>market participants</i> .	Following 3C.04, where written submissions not requested or following the deadline for written submissions, where requested.	None.	None.	Assessment complete.

Table 3–3: Procedural Steps for Minor Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3C.06	Prepare and submit report.	<i>IESO staff/technical panel</i> prepare report with <i>amendment</i> details and submits to the <i>IESO Board</i> along with the assessment described in step 3C.01 and summaries of any comments or discussions as required under section 34 (2.1) of the <u><i>Electricity Act, 1998</i></u> .	Following 3C.05.	Report to <i>IESO Board</i> .	Internal process.	Report delivered.
3C.07	Provide assessment to <i>OEB</i> .	If an <i>amendment</i> is recommended for <i>IESO Board</i> approval, <i>IESO</i> staff provides the <i>OEB</i> with the assessment described in step 3C.01 and the recommended <i>amendment</i> .	Following step 3C.06.	Assessment.	Internal process.	Assessment provided to the <i>OEB</i> .
3C.08	Decide or refer back to <i>IESO</i> .	The <i>IESO Board</i> reviews written submissions regarding the <i>amendment</i> , as appropriate and decides.	Following step 3C.07 or, where written submissions are applicable, following the deadline for their submission.	Decision.	Internal.	Decision made regarding the <i>amendment</i> .

Table 3–3: Procedural Steps for Minor Amendment of Market Rules

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3C.09	Provide <i>OEB</i> with <i>IESO Board</i> statements.	If the <i>IESO Board</i> approves an <i>amendment</i> , <i>IESO</i> staff provides the <i>OEB</i> with a copy of the approved <i>amendment</i> , statements of members of the <i>IESO Board</i> disagreeing with the assessment described in task 3C.01, if any, and other information required under section 33 (1.1) of the <i>Electricity Act, 1998</i> .	Following step 3C.08.	Statements of the <i>IESO Board</i> , if any, and summaries.	Email.	Statements, if any, and other required information provided to the <i>OEB</i> .
3C.10	<i>Publish</i> decision and notify.	<i>IESO</i> staff <i>publishes IESO Board</i> decision and <i>amendment</i> approved by the <i>IESO Board</i> , if accepted, at least 22 days before the <i>amendment</i> comes into force and notifies requesting person, other parties, including <i>market participants</i> and the <i>OEB</i> .	Following 3C.09.	<i>IESO Board</i> decision <i>published</i> , with <i>amendment</i> , if accepted.  Notification to requesting person, other parties, including <i>market participants</i> and the <i>OEB</i> .	Publication: <i>IESO</i> public Web site.  Notification: E-mail.	<i>IESO Board</i> decision <i>published</i> and notice given.

**Table 3–3: Procedural Steps for Minor Amendment of Market Rules**

<b>Ref.</b>	<b>Task Name</b>	<b>Task Detail</b>	<b>When</b>	<b>Resulting Information</b>	<b>Method</b>	<b>Completion Events</b>
3C.11	Receive notification.	Requesting party receives notification of <i>IESO Board's</i> decision regarding the <i>amendment</i> , along with details of any amendment that is accepted by the <i>IESO Board</i> .	Following step 3C.10.	Notice.	E-mail.	Notification received.
3C.12	Receive notification.	Other parties including <i>market participants</i> , receives notification of <i>IESO Board's</i> decision regarding the <i>amendment</i> , along with details of any <i>amendment</i> that is accepted by the <i>IESO Board</i> .	Following step 3C.10.	Notice.	E-mail.	Notification received.

### 3.4 Amendment of Market Rules Ordered by the Ontario Energy Board (OEB)

The following table represents the steps and information related to the *amendment* and publication of the “Market Rules” ordered by the *Ontario Energy Board (OEB)*. The steps shown in the following table are those represented in the work flow detailed in Section 2.4.

**Table 3–4: Procedural Steps for Amendment of Market Rules Ordered by the OEB**

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
3D.01	Determine nature of <i>OEB</i> order.	The <i>IESO Board</i> determines the relevant Section(s) of the <i>Electricity Act 1998</i> under which the <i>OEB</i> order is given and whether this process or the general <i>amendment</i> process set out in Section 2.1 applies.	Upon issue of an order from the <i>OEB</i> .	Identification of affected sections of <i>Electricity Act 1998</i> .	Internal process.	The <i>IESO Board</i> submits <i>amendment</i> to <i>technical panel</i> for processing, or decides to process the <i>amendment</i> itself, under Section 3.1 on identification of <i>OEB</i> order under section 33(6)/34(6) of the <i>Electricity Act, 1998</i> in 3C.01.
3D.02	<i>IESO Board</i> Consultation.	<i>IESO Board</i> consults with selected persons on <i>amendment</i> , as it determines is appropriate.	Upon identification of <i>OEB</i> order under <i>Electricity Act 1998</i> in 3D.01 and before <i>OEB</i> -defined time constraint.	Consultation.	As appropriate through consultation medium.	Consultation initiated.
3D.03	Consult with <i>IESO Board</i> .	Selected persons identified by <i>IESO Board</i> provide consultation to the <i>IESO Board</i> regarding the <i>amendment</i> , as requested.	Following 3D.02, as requested by the <i>IESO Board</i> .	Consultation.	As appropriate through consultation medium.	Consultation complete.



**Table 3–4: Procedural Steps for Amendment of Market Rules Ordered by the OEB**

<b>Ref.</b>	<b>Task Name</b>	<b>Task Detail</b>	<b>When</b>	<b>Resulting Information</b>	<b>Method</b>	<b>Completion Events</b>
3D.04	Provide assessment to <i>OEB</i> .	Prior to the <i>IESO Board</i> making a <i>amendment</i> , <i>IESO</i> staff provides the <i>OEB</i> with an assessment of the impact of the <i>amendment</i> on the interests of consumers with respect to prices and the <i>reliability</i> and quality of electricity service, along with the recommended <i>amendment</i> .	Following step 3D.03.	Assessment.	Email.	Assessment provided to the <i>OEB</i> .
3D.05	<i>IESO Board</i> approval and provision of <i>IESO Board</i> statements to <i>OEB</i> .	After the <i>IESO Board</i> approves an <i>amendment</i> , <i>IESO</i> staff provides the <i>OEB</i> with a copy of the approved <i>amendment</i> , statements of members of the <i>IESO Board</i> disagreeing with the assessment described in task 3D.04, if any, and other information required under section 33 (1.1) of the <i>Electricity Act, 1998</i> .	Following step 3D.04.	Statements of the <i>IESO Board</i> , if any, and summaries.	Email.	Statements, if any, and summaries provided to the <i>OEB</i> .

**Table 3–4: Procedural Steps for Amendment of Market Rules Ordered by the OEB**

<b>Ref.</b>	<b>Task Name</b>	<b>Task Detail</b>	<b>When</b>	<b>Resulting Information</b>	<b>Method</b>	<b>Completion Events</b>
3D.06	<i>Publish and notify</i>	<i>IESO staff publishes amendment approved by the IESO Board at least 22 days before the amendment comes into force and notifies other parties, including market participants and OEB, of the amendment.</i>	Following 3D.05.	<i>Amendment published.</i>  <i>Notification of amendment.</i>	<i>IESO public Web site.</i>  <i>E-mail.</i>	<i>Amendment published.</i>
3D.07	Receive notification.	Other parties, including <i>market participants</i> and <i>OEB</i> receive notification of <i>amendment</i> .	Following 3D.06.	Notice.	E-mail.	Notification received.

### 3.5 Amendment of Market Rules Revoked by the OEB

The following table represents the steps and information related to the *amendment* and publication of the “Market Rules” revoked by the *OEB*. The steps shown in the following table are those represented in the work flow detailed in Section 2.5.

**Table 3–5: Procedural Steps for Amendment of Market Rules Revoked by the OEB**

<b>Ref.</b>	<b>Task Name</b>	<b>Task Detail</b>	<b>When</b>	<b>Resulting Information</b>	<b>Method</b>	<b>Completion Events</b>
3F.01	<i>IESO Board</i> Process Determination.	The <i>IESO Board</i> determines if they will refer the revoked <i>amendment</i> to the Technical Panel or will process the <i>amendment</i> itself.	Upon receipt of an <i>amendment</i> revoked by the <i>OEB</i> .	Process determination.	Internal process.	The <i>IESO Board</i> submits <i>amendment</i> to <i>technical panel</i> for processing under section 3.1 of this procedure, or decides to process the <i>amendment</i> itself.
3F.02	<i>IESO Board</i> Consultation.	<i>IESO Board</i> consults with selected persons on <i>amendment</i> , as it determines is appropriate.	Upon identification of an <i>amendment</i> revoked by the <i>OEB</i> .	Consultation.	As appropriate through consultation medium.	Consultation initiated.
3F.03	Consult with <i>IESO Board</i> .	Selected persons identified by <i>IESO Board</i> provide consultation to the <i>IESO Board</i> regarding the <i>amendment</i> , as requested.	Following 3F.02, as requested by the <i>IESO Board</i> .	Consultation.	As appropriate through consultation medium.	Consultation complete.

**Table 3–5: Procedural Steps for Amendment of Market Rules Revoked by the OEB**

<b>Ref.</b>	<b>Task Name</b>	<b>Task Detail</b>	<b>When</b>	<b>Resulting Information</b>	<b>Method</b>	<b>Completion Events</b>
3F.04	Provide assessment to <i>OEB</i> .	Prior to the <i>IESO Board</i> making an <i>amendment</i> , <i>IESO</i> staff provides the <i>OEB</i> with an assessment of the impact of the <i>amendment</i> on the interests of consumers with respect to prices and the <i>reliability</i> and quality of electricity service, along with the recommended <i>amendment</i> .	Following step 3F.03.	Assessment.	Email.	Assessment and recommended amendment provided to the <i>OEB</i> .
3F.05	<i>IESO Board</i> approval and provision of <i>IESO Board</i> statements to <i>OEB</i> .	After the <i>IESO Board</i> approves an <i>amendment</i> , <i>IESO</i> staff provides the <i>OEB</i> with a copy of the approved <i>amendment</i> , statements of members of the <i>IESO Board</i> on the assessment described in task 3F.04, if any, and summaries of any comments or discussions as required under section 33 (1.1) of the <i>Electricity Act, 1998</i> .	Following step 3F.04.	Statements of the <i>IESO Board</i> , if any, and summaries.	Email.	Approved amendment, statements, if any, and other required information provided to the <i>OEB</i> .

**Table 3–5: Procedural Steps for Amendment of Market Rules Revoked by the OEB**

<b>Ref.</b>	<b>Task Name</b>	<b>Task Detail</b>	<b>When</b>	<b>Resulting Information</b>	<b>Method</b>	<b>Completion Events</b>
3F.06	<i>Publish and notify.</i>	<i>IESO staff publishes amendment approved by the IESO Board at least 22 days before the amendment comes into force and notifies other parties, including market participants and OEB, of the amendment.</i>	Following 3F.05.	<i>Amendment published.</i>  <i>Notification of amendment</i>	<i>IESO public Web site</i>  <i>E-mail.</i>	<i>Amendment published.</i>
3F.07	Receive notification.	Other parties, including <i>market participants</i> and <i>OEB</i> receive notification of <i>amendment</i> .	Following 3F.06.	Notice.	E-mail.	Notification received.

– End of Section –

## Appendix A: Forms

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This appendix contains a list of the forms associated with the “Market Rule Amendment Procedure”. These forms are available on the *IESO* public Web site in the same location as this procedure. The forms included are as follows.

<b>Form Name</b>	<b>Form Number</b>
Market Rule Amendment Submission Form	IMO-FORM-1466
Market Rule Amendment Proposal Form	IMO-FORM-1087

– End of Section –

# Appendix B: Criteria for Amendment Submission Consideration and Priority

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## B.1 Criteria for Determining Whether Amendment Submission Warrants Consideration

An *amendment submission* warrants consideration if:

- a) It identifies an error or inconsistency within the “Market Rules”;
- b) It identifies an error or inconsistency between the “Market Rules” and applicable laws, regulations, codes, OEB licences, etc.;
- c) It identifies an *IESO-controlled grid* operating reliability concern;
- d) It identifies impediments to, or means to enable, operations and market coordination with rules, practices or regulations in neighbouring jurisdictions;
- e) It identifies impediments to, or means to enable, making the rules legally enforceable;
- f) It identifies ambiguity or confusion within the rules that cause interpretation confusion and leads to poor coordination of implementation or to future disputes;
- g) It identifies means to better enable the market to satisfy the market design principles;
- h) It identifies ways to simplify the market and/or reduce participant or *IESO* costs;
- i) It enables the implementation of a deferred functionality;
- j) The expected or perceived benefits of the *amendment* exceed the expected or perceived costs of implementation.

## B.2 Criteria for Determining Whether Amendment Submission is Urgent

Under section 34(1) of the *Electricity Act, 1998*, an *amendment* may be considered urgent if it is needed:

- a) To avoid, reduce the risk of or mitigate the effects of conditions that affect the ability of the integrated power system to function normally.

- b) To avoid, reduce the risk of or mitigate the effects of the abuse of market power.
- c) To implement standards or criteria of a standards authority.
- d) To avoid, reduce the risk or mitigate the effects of an unintended adverse affect of a *market rule*.
- e) A reason prescribed by regulation.

### **B.3 Criteria for Determining Whether an Amendment Submission is Minor**

A *minor amendment* is defined an *amendment* to the “Market Rules” to correct a typographical or grammatical error, or to effect a change of a non-material procedural nature.

Any *amendment submission* that proposes, or results in, any of the following impacts would **NOT** be a *minor amendment*:

- a) A *market participant* or the *IESO* would incur material additional costs in order to effect the change or to be compliant with the change brought about by the *amendment submission*.
- b) The determination of schedules (including bid and offer submission schedules, auction schedules etc) or prices in any of the physical or financial markets would be changed.
- c) The means of procurement of, and prices paid for, an ancillary service would be changed.
- d) The level or timing of information released to the marketplace would be changed.
- e) Any *amendment submission* that proposes or results in a change to the conditions for participation that would cause any currently authorized participant to no longer be authorized.
- f) The change introduces additional risks of the *IESO* not being able to direct the operation of the *IESO-controlled grid* and maintain system or local area reliability to meet the applicable standards.

### **B.4 Criteria for Assigning Priority**

The priority assigned to the development of *market rules* to address the issues identified in the submission will be either a “regular priority” or a “high priority.” Regular priority will be considered the norm and a high priority will be the exception. A high priority will need to be justified, using the established criteria below, by the party advocating the high priority. The *IESO* will work on regular priority rule amendments in the time-stamp order they are introduced to the Panel, pending the availability of *IESO* resources. High priority rule amendments will go to the top of the queue and take precedence over any regular priority rule amendment.

- a) Pervasiveness of the problem: the extent to which an issue is adversely affecting a number of *market participants*, the extent of the adverse impact on the affected participants, and the likely duration of the problem (i.e., is it transitory, or will it persist). A high priority will be assigned to issues that are exceptionally more pervasive than others.
- b) Alternative solutions: the extent to which one or more alternative solutions are likely to be developed that will address the issue and improve the operation of the *IESO-administered*



*markets or IESO-controlled grid. Higher priority will be assigned to issues for which alternative solutions are likely to be developed through a market rule amendment.*

- c) Technical feasibility: the extent to which a technically sound solution can be developed, or whether the issue under consideration should await completion of other market development activities (including external activities). Higher priority will be assigned to issues for which technically feasible solutions are likely.
- d) Practical consequences: the extent to which a solution is likely to be acceptable generally, and the extent to which addressing a particular issue (or not addressing it) might cause others to act, e.g. the OEB or government. Higher priority will be assigned to issues whose solution is likely to be acceptable generally.

**– End of Section –**

## References

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Document Name	Doc ID
Market Manual 2: Market Administration, Part 2.0: Market Administration Overview	MDP_MAN_0002
IESO Governance and Structure By-Law	
Chapter 3, Section 4 “Market Rules”	MDP_RUL_0002
<u>Electricity Act, 1998</u>	
Technical Panel to the IESO Board of Directors – Terms of Reference	

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