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**Market Manual 1: Market Entry,  
Maintenance & Exit**

**Part 1.1: Participant  
Authorization,  
Maintenance & Exit**

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**Issue 30.0**

This document provides detailed procedures to be followed by applicants who wish to become authorized as *participants* in the *physical* and *financial IESO-administered markets*.

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# Table of Contents

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<b>Table of Contents</b> .....	<b>i</b>
<b>List of Figures</b> .....	<b>ii</b>
<b>List of Tables</b> .....	<b>iii</b>
<b>Table of Changes</b> .....	<b>iv</b>
<b>Market Manuals</b> .....	<b>1</b>
<b>Market Procedures</b> .....	<b>1</b>
<b>1. Introduction</b> .....	<b>2</b>
1.1 Purpose.....	2
1.2 Scope.....	2
1.3 Roles and Responsibilities.....	2
<b>2. Participant Authorization</b> .....	<b>4</b>
2.1 Overview .....	4
2.2 Prerequisites for the Participant Authorization Procedure .....	4
2.3 Components of the Participant Authorization Procedure.....	6
2.3.1 Registration of an organization.....	6
2.3.2 Registration of participation.....	7
2.4 Disputes .....	10
2.5 Procedural Work Flow .....	10
<b>3. Participant Maintenance</b> .....	<b>12</b>
3.1 Overview - Changes to Participant Record Information.....	12
3.2 Additions/Changes to System Access .....	12
<b>4. Participant Exit from the IESO-Administered Markets or Programs</b> .....	<b>13</b>
4.1 Overview .....	13
4.2 Application for Withdrawal .....	13
4.3 Termination Order .....	14
4.4 Procedural Work Flow .....	15
4.5 Procedural Steps.....	17
<b>Appendix A: Roles and Responsibilities</b> .....	<b>21</b>
<b>References</b> .....	<b>23</b>

# List of Figures

---

Figure 2–1: Work Flow for Participant Authorization .....11  
Figure 4–1: Work Flow for Market Participant Withdrawal ..... 16

Archive

# List of Tables

---

Table 2–1: Legend for Participant Authorization Work Flow Diagram .....10  
Table 4–1: Legend for Market Participant Withdrawal Work Flow Diagram ..... 15  
Table 4–2: Legend for Procedural Steps ..... 18

Archive

## Table of Changes

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<b>Reference</b>	<b>Description of Change</b>
Market Procedures	Removed reference to Market Manual 1 Part 1.0 (obsolete)
Section 1.3	Updated contact information
Section 2.3.2	Added new Market Participant Authorization types
References	Updated title of Market Manual 12 Removed reference to Market Manual 1 Part 1.0 (obsolete)

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## Market Manuals

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The *market manuals* consolidate the procedures and associated forms, standards, and policies that define the operation of the various areas within the *IESO-administered markets*. *Market manuals* provide more detailed descriptions of the requirements for various activities than are 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 Entry, Maintenance & Exit” manual is Series 1 of the *market manuals*, where this document forms Part 1.1: Participant Authorization, Maintenance & Exit.

– End of Section –



# 1. Introduction

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## 1.1 Purpose

This *market manual* is intended as a guide for applicants when submitting an application to the *IESO* to become authorized as a *market participant* or, where applicable, a program participant. All references in this *market manual* to a ‘participant’ shall be deemed to include a reference to both, *market participant* and applicable program participant, as listed in this manual.

Work flows and procedural steps described in this *market manual* will serve as a road map for applicants and the *IESO*. These work flows and procedural steps reflect the requirements set out in the *market rules* for the participant authorization, maintenance and exit processes.

## 1.2 Scope

The “Market Entry, Maintenance & Exit” processes are comprised of three distinct activities:

- “Participant Authorization, Maintenance and Exit”;
- “Facility Registration, Maintenance and De-registration”<sup>1 2</sup>; and
- “Identity Management Operations Guide”<sup>3</sup>.

This *market manual*, Part 1.1: Participant Authorization, Maintenance and Exit, contains information concerning the registration and participation of organizations, and is divided into three sub-procedures intended to act as guidelines for applicants and participants, as follows:

- Section 2 – Participant Authorization;
- Section 3 – Participant Maintenance; and
- Section 4 – Participant Exit from the IESO-Administered Markets or Programs.

## 1.3 Roles and Responsibilities

Responsibility for participant authorization, maintenance and exit activities is shared between the applicant and the *IESO*, as follows:

### **Applicant**

- read and comply with the *market rules* pertaining to market or applicable program participation;

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<sup>1</sup> For information about the *facility* registration process, see Market Manual 1: Market Entry, Maintenance & Exit, Part 1.2: Facility Registration, Maintenance and De-registration.

<sup>2</sup> For information about the wholesale *meter* registration process, see Market Manual 3: Metering, Part 3.2: Meter Point Registration and Maintenance.

<sup>3</sup> For information about the identity management process, see Market Manual 1: Market Entry, Maintenance & Exit, Part 1.3: Identity Management Operations Guide.

- submit authorization request supporting documentation and supplementary information, as set out in Sections 2 and 3;
- execute all applicable agreements pertaining to the participant authorization process;
- identify the types of *prudential support* to be provided to meet its *prudential support obligation* as calculated by the *IESO*;
- post *prudential support* as determined by the *IESO*;
- review, maintain, and update the organizational information in the *IESO* registration system to ensure the accuracy of the information;
- submit *responses* to *IESO* requests for missing information or clarifications;
- certify to the *IESO* that *participant workstation* complies with all applicable technical requirements as required by the *IESO* and participate in *participant workstation* testing;
- update authorization supporting documentation as required;
- update system access information as required; and
- notify the *IESO* of intent to withdraw from the *IESO-administered markets* or applicable programs.

### **IESO**

- acknowledge receipt of application request;
- process applicant submissions;
- create a participant record for the applicant in the *IESO* registration system;
- calculate the applicant's *prudential support obligation*;
- issue requests for missing information or clarifications;
- comply with the *market rules* pertaining to market or applicable program participation;
- update the listing of all registered participants on the *IESO* public website;
- confirm the successful completion of *participant workstation* testing; and
- issue a registration approval notification of authorization, termination, or withdrawal of participation.

### **Contact Information**

Changes to this *market manual* are managed via the [IESO Change Management process](#). Stakeholders are encouraged to participate in the evolution of this *market manual* via this process.

To contact the *IESO*, you can email IESO Customer Relations at [customer.relations@ieso.ca](mailto:customer.relations@ieso.ca) or use telephone or mail. Telephone numbers and the mailing address can be found on the *IESO* website (<http://www.ieso.ca/corporate-ieso/contact>). *IESO* Customer Relations staff will respond as soon as possible.

– End of Section –

## 2. Participant Authorization

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### 2.1 Overview

Anyone planning to participate in the *IESO-administered markets* and applicable programs, to cause or permit electricity to be conveyed into or out of the *IESO-controlled grid* must apply to the *IESO* for authorization to participate in those markets and applicable programs.

The participant authorization process allows the *IESO* to identify the market(s) and applicable programs in which the applicant intends to participate. It also ensures that the applicant will satisfy their *prudential support* and other financial obligations to the *IESO-administered markets*, and establishes the applicant's technical ability to inter-operate with the *IESO*.

In order to be authorized as a *market participant*, an applicant must meet the requirements described in Subsection 2.3 - Components of the Participant Authorization Procedure.

Once an applicant has applied for authorization, the applicant may start to register *metering installations* and *facilities*, but cannot complete this registration process until authorization is granted.

The *IESO* will issue a notification of authorization, called Registration Approval Notification (RAN), when the participant authorization process is approved and complete.

### 2.2 Prerequisites for the Participant Authorization Procedure

There is a variety of activities that an applicant should complete before submitting their application for authorization to the *IESO*.

These activities include:

#### Review of Market Rules

Chapter 2 of the *market rules* titled "Participation" contains material relevant to the participant authorization process and should be thoroughly reviewed by all applicants to the *IESO-administered markets* and applicable programs before submission of the application for authorization.

#### Review of Market Manuals and Procedures

Many of the procedures necessary for market involvement are inter-related, therefore it is strongly suggested that applicants review the entire set of *market manuals* before starting the participant authorization process. Particular attention should be paid to those documents listed in the 'Reference' section at the end of this document.

#### Ontario Energy Board Licences

The Ontario Energy Board (OEB) is responsible for *licensing* all *market participants* in the *IESO-administered markets* including the *Independent Electricity System Operator (IESO)*, *generators*, *transmitters*, *distributors*, *wholesale sellers* and *retailers*, including those intending to *retail* electricity to *consumers*.

*Market participants* other than those registered only for demand response must have an OEB *licence* for each participant class (e.g. *generator*, *distributor*) for which they intend to conduct market

activities. All of these on-line applications for authorization must include copies of an applicant's relevant OEB *licence(s)*<sup>4</sup>. Applicants for centralized forecasting service program are also required to have and submit relevant OEB *licence(s)*.

### **National Energy Board Permits**

Any applicant seeking to export or wheel electricity over *interties* between the *IESO control area* and adjacent *control areas* must obtain a copy of the export permit or licence issued by the National Energy Board (NEB). Further, the *IESO* shall not facilitate the export of electricity from Canada without first obtaining a copy of the exporter's permit or licence issued by the NEB. This requirement also impacts those *transmitters* whose transmission lines make up the *IESO-controlled grid*.

*Market participants* must also provide the *IESO* with a copy of any new or updated permit that they obtain as stipulated in *market rules*, Chapter 2, Section 3.1.8.

### **Importing and Exporting**

Before authorization is completed, a *market participant* applicant will be required to identify any *interties* between the *IESO control area* and adjacent *control areas* across which it wishes to import or export *energy* and/or *operating reserve*<sup>5</sup> as stipulated in *market rules*, Chapter 7, Section 2.2.7. The *market participant* applicant must also confirm that it has the relevant North American Electric Reliability Council (NERC) tagging capability and NEB permit/licences required to support such activities.

### **Connection agreement**

Each *market participant* that has *facilities* participating in the *physical markets* must have a signed connection agreement with the applicable *transmitter* (if the connection is to the *IESO-controlled grid*) or with the applicable distributor (if the connection is to the distribution system), as the case may be, in which connection agreement the *facility* ownership should be clearly identified. This agreement will be submitted to the *IESO* during the facility registration process.

### **Harmonized Sales Tax Registration**

All *market participants* that participate in the *physical markets*, as per the applicable *market rules*, must have and submit to the *IESO* a Harmonized Sales Tax (HST) registration number<sup>6</sup>.

### **Emergency Preparedness Plan**

All *market participants* are required to have an emergency preparedness plan, approved by the *IESO*. Chapter 5, Section 11 of the *market rules* describes the content requirements for an emergency preparedness plan.

### **Participant Workstations**

As part of the participant authorization process, applicants will be required to test and confirm that they are able to inter-operate with all applicable *IESO* systems through their fully functional *participant workstation*. In advance of the testing time period, applicant are required to have set up the necessary hardware and software infrastructure to support the testing process, in accordance to

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<sup>4</sup> For more information on obtaining *OEB licences*, visit the *OEB* web site.

<sup>5</sup> *Market participants* may import *energy* and *operating reserve* but can only export *energy*.

<sup>6</sup> For information on HST registration, visit the Canada Customs and Revenue Agency web site.

technical requirements that are stated in the ‘Participant Technical Reference Manual’. As such, the ‘Participant Technical Reference Manual’ should be reviewed before application is made for authorization.

### **Training and Procedures for Participation in the IESO-Administered Markets**

The *IESO* will provide to participants a list of training material, recommended based on the type of participation requested.

Applicants are responsible to ensure that their personnel receive appropriate training for all of the testing activities conducted by the *IESO* to assess that they are able to inter-operate with all applicable *IESO* systems. Applicants shall have the appropriate employee training and procedures in place to ensure they are prepared for participation in the market as soon as they are authorized.<sup>7</sup>

## **2.3 Components of the Participant Authorization Procedure**

There are two main components of the Participant Authorization procedure:

1. Registration of an organization; and
2. Registration of participation.

Once the applicant is fully authorized to participate, the *IESO* will send a copy of the cover sheet of the approval document known as the Registration Approval Notification (RAN). This is the confirmation that the company is authorized to participate for the participant authorization type requested (by participant) and approved (by the *IESO*).

### **2.3.1 Registration of an organization**

The *IESO* operates a web-based (on-line) registration system for electronic processing and storing of information related to participants and their participation in the *IESO-administered markets* and in *IESO* applicable programs.

The applicants are required first to register their company information, using the on-line application form, found on the *IESO* public website, under “Register an Organization” page.

The *IESO* will create a record for the applicant in the *IESO* registration system, containing the information supplied by the applicant. This record will be the on-line repository for all of participant’s information and documents related to their participation in the *IESO-administered markets* and *IESO* applicable programs.

As part of the registration of the organization, the applicant must sign and submit the *participation agreement*. A *participation agreement* formally binds a participant to the *market rules* and other applicable standards, policies or procedures established by the *IESO*. This *participation agreement* also serves as certification by the applicant of readiness to participate in the *IESO-administered markets* and applicable programs.

In addition, the applicants are required to register their mandatory organization contacts. The descriptions of the roles and responsibilities of the contacts are provided in Appendix A. The *IESO* will provide the mandatory organization contacts with initial access to the on-line registration system

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<sup>7</sup> For information on Training, see <http://www.ieso.ca/Pages/Participate/Training.aspx> .

which will allow the applicant to complete the second part of participant authorization: registration of participation. Access will remain available to the applicant for use in future authorization and facility registration activities.

### 2.3.2 Registration of participation

Applicants that have already registered their organization with the *IESO* (see Section 2.3.1 above) can initiate the authorization to participate process by submitting a request using Online IESO<sup>8</sup>. Based on the type of market or program participation authorization selected (see a list of authorization types below), the on-line registration system will provide a customized list of tasks to complete. The tasks generated by the on-line registration system guide the applicants through the submission process for the various components of the application. Some of these submissions will require approval by the *IESO*.

It is the responsibility of the applicant to review, update and maintain the submitted data on an enduring basis, to ensure that all of the records are correct.

#### Market and applicable Program Participant Authorization Types

Using Online IESO, applicants will select the type of market or program participation, from the following options:

##### Market Participant Authorization types

- Generator
- Load
- Energy Trader
- Distributor
- Transmitter
- Electricity Storage Participant
- Demand Response Market Participant

A demand response auction participant who secures a demand response capacity obligation through a demand response auction shall apply to become authorized by the *IESO* as a *demand response market participant*. Upon clearing the demand response auction, participants need to register their resources to participate in the energy market, as described in Market Manual 1.2 – Facility Registration, Maintenance and De-registration.

- Capacity Auction Participant

In order to participate in a *capacity auction*, prospective participants are required to be authorized as *capacity auction participants*, at least 40 business days in advance of the start date for the submission of offers under a *capacity auction*, or within such shorter period of time as may be determined by the *IESO*, in its sole and absolute discretion, provided the participant took reasonable steps, in the *IESO*'s sole opinion, to initiate the authorization process in a timely manner and such authorization was delayed due to

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<sup>8</sup> Online IESO is an online tool for *participants* to initiate and complete registration tasks and submit registration data to the *IESO*, accessible at <https://online.ieso.ca>.

circumstances beyond such participant's control. For details on the *transitional capacity auction*, please refer to Market Manual 12 - Capacity Auction.

- Capacity Market Participant

A *capacity auction participant*, who secures a *capacity obligation* through a *capacity auction* shall apply to become authorized by the *IESO* as a *capacity market participant*. Upon clearing the *capacity auction*, participants need to register their resources to participate in the energy market, as described in Market Manual 1.2 – Facility Registration, Maintenance and De-registration.

### Program Participant Authorization types

- Ontario Clean Energy Benefit – Smart Sub-Metering Provider
- Centralized Forecasting Service
- Smart Metering Cost Recovery

### Participant Service Provider Authorization type

- Meter Data Associate

This will be required for all participants that need to retrieve metering data. A mandatory Revenue Metering Data contact established during participation authorization will prompt the applicant with a recommendation to register a Meter Data Associate.

There are three steps to the registration of participation process, as follows:

1. Submission of the application components;
2. Establishing the business contacts and obtaining authentication credentials; and
3. Test of *participant workstation*.

## 1. Submission of the Application Components

Some submissions are, but not restricted to:

- Payment of the OEB-Approved Application Fee
- Ontario Electricity Board (OEB) Licence(s)
- National Energy Board (NEB) Permit
- Financial Information (the applicant is required to submit banking information)
- Prudential Support Information

An applicant shall meet the prudential support obligations as set out in the *market rules* (Chapter 2, Section 5.2) and in Market Manual 5.4: Prudential Support as part of their application for authorization. The *IESO* requires that prudential support be provided by any organization that is, or will be, a market debtor, in order to mitigate the risk to the market of payment defaults. The level of prudential support that a *market participant* is required to post is calculated by the *IESO* using standard calculations, based on the *market participant's* estimate of their trading level in the market and their trading limit.

The *IESO* uses an estimate of the MW value of the applicant's daily activity in the *real-time energy* and operating reserve markets (including all import and export activities) and

the trading limit for the applicant to support its intended market activity. The *IESO* uses this information to calculate the value of the prudential support that the *market participant* will be required to post to participate in the *real-time energy* and operating reserve markets. See Market Manual 5.4: Prudential Support for more information on the calculation of the prudential support obligation.

- Emergency Preparedness Plan
- Transmission Rights (TR) Auction Information

If a *market participant* wishes to participate in the *TR market*, they shall declare their intention to *bid* in an upcoming *TR auction* by submitting a *TR market deposit*, via IMO-FORM-1361: TR Auction Information. This form is necessary for the *IESO* to determine the participant's *bidding limit*. In most cases, the *bidding limit* of the *market participant* in the *TR auction* will be ten times the amount of the *TR market deposit* provided. However, if a *market participant* has defaulted on a past *TR auction* payment, the *IESO* may elect to require that the *TR market deposit* submitted by this *market participant* be set at a reduced level. In order to participate in a round of a *TR auction*, a *TR participant* must provide the *IESO* with a *TR market deposit* and "TR Auction Information" form, no less than five *business days* prior to the round of the *TR auction*. See the *market rules*, Chapter 8, Section 4.8. In addition, US-based participants must also complete IMO\_FORM\_1540: Transmission Rights Certification as an Eligible Commercial Entity.

- Request for implementation of Three-Part Offers (Form 1721)

If a *registered market participant* wishes to submit three-part offers to the day-ahead commitment process (DACP) for its non-*quick start facilities*, the *market participant* shall declare their intent to implement three-part offers to the *IESO* by submitting *IESO Form 1721: Implementation of Three-Part Offers*. This form will be submitted in an e-mail addressed to [market.registration@ieso.ca](mailto:market.registration@ieso.ca) and it is necessary for the *IESO* to enable its systems to accept submission of day-ahead three-part offers from the *market participant*. Three-part offers are the incremental *energy* and fixed offered costs for operating a non-*quick start facility* during DACP. See Market Manual 9: Part 9.1 Submitting Registration Data for the DACP for more details.

## 2. Establishing the business contacts and obtaining authentication credentials

A great deal of data passes back and forth between the *IESO* and participants on a regular basis, via various market systems/tools and/or *dispatch workstations*. In order to maintain the *security* of this information, participants are required to register the users that are expected to interact with the *IESO* via these various systems and to obtain authentication credentials from the *IESO* for all of them. The *IESO* will provide a set of unique authentication credentials, such as a user account and password for each individual registered user.

The on-line *IESO* system enables the applicant to submit organizational business contacts (e.g. for Settlements, Operations, Finance, etc.) for all of the persons that are expected to communicate with the *IESO* for different business-related issues.



### 3. Test of Participant Workstation

*IESO* operation with participants is accomplished through the *participant workstation* via the Internet or frame relay, except for the transfer of real-time information<sup>9</sup>. Examples of the type of information relayed through the Internet include:

- *bids* and *offers* submissions;
- *pre-dispatch* results;
- *dispatch* schedules; and
- *settlements* and invoicing information.

During the participant authorization process, tests will be required by the *IESO* to prove that the applicant can inter-operate with the *IESO* via the *participant workstation*, thus meeting the *IESO*'s technical requirements for non-real time data transfers. *Participant workstation* testing is accomplished by confirming that the applicant is able to successfully inter-operate with the *IESO*'s applications (such as Market Participant Interface-MPI) through their *participant workstation*.

The applicants will also be required to ensure that their *participant workstations* comply with all applicable technical requirements stated in the 'Participant Technical Reference Manual'.

*Applicants* are responsible to ensure to properly train their personnel for testing activities.

## 2.4 Disputes

Either the *IESO* or an applicant may initiate the Dispute Resolution process<sup>10</sup> in accordance with Chapter 3, Section 2 of the *market rules* if either believes the circumstances warrant such action. For example, applicants may dispute denial by the *IESO* of authorization to any person to participate in the *IESO-administered markets*, to cause or permit electricity to be conveyed into, out of, or through the *IESO-controlled grid*.

## 2.5 Procedural Work Flow

The following diagram represents the flow of information related to participant authorization between the applicant and the *IESO*.

**Table 2–1: Legend for Participant Authorization Work Flow Diagram**

Legend	Description
Oval	An event that triggers task or that completes task
Task Box	Shows task name or brief summary of task
Solid arrow line	Shows information flow between the <i>IESO</i> and external parties

<sup>9</sup> See the 'Participant Technical Reference Manual' for more information.

<sup>10</sup> For more information on the Dispute Resolution process, see Market Manual 2: Market Administration, Part 2.1: Dispute Resolution.

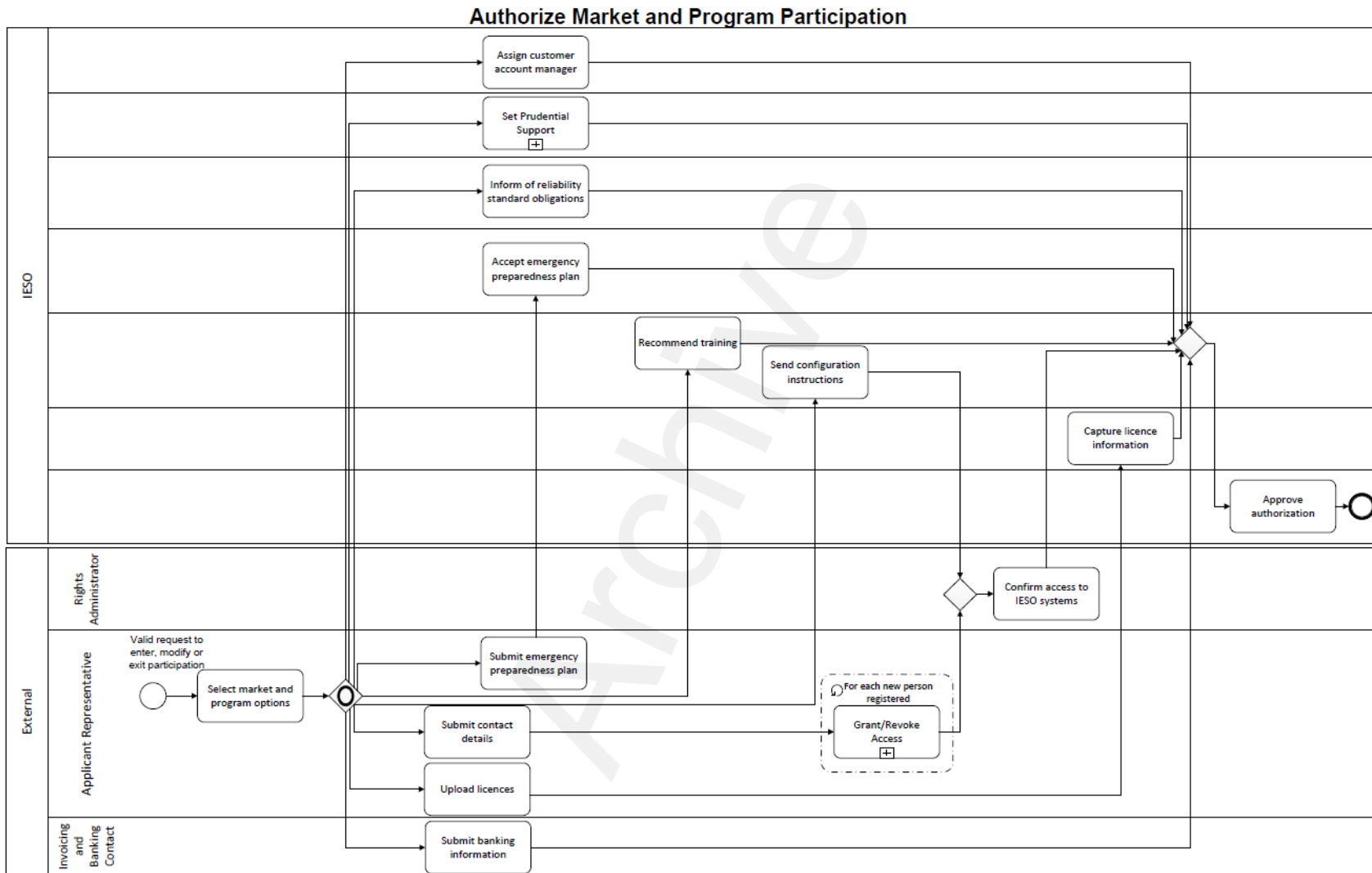


Figure 2–1: Work Flow for Participant Authorization

- End of Section -

## 3. Participant Maintenance

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### 3.1 Overview - Changes to Participant Record Information

Participants may occasionally require changes to the information contained in their record in the IESO registration system. For example, additions or changes may be required to the following areas:

- Market Participant Information (address, contact information, etc.);
- Market or Program Participant Authorization Type;
- Bank account information;
- Market Participant Contacts (mandatory contacts and business contacts);
- Prudential Support Information; and
- Revised documentation.

It is the responsibility of the participant to review, update and maintain this information in the on-line IESO system to ensure that all of the records are correct and it is the responsibility of the person to review, update and maintain their contact information in the on-line IESO system.

If the change pertains to an officially signed document that cannot be submitted directly in the on-line IESO system, the signed document including the change should be submitted via mail or courier.

The participants should make the changes as soon as possible; however, it should be noted that some timelines for changes are more stringent than others. For example, the *market rules* (Chapter 9, Section 6.18) require that *market participants* and *transmitters* provide details of changes to bank details or *settlement account* details at least 60 *business days* before the change takes effect.

Where an existing, authorized participant is seeking to change its name, as stated in the original *participation agreement*, the participant must submit a new *participation agreement* and evidence to demonstrate a name change, subject to *IESO* legal review. The participant must also update the Prudential Support Information, as well as OEB Licence & NEB permits (if applicable). Where a participant is seeking to change its name due to amalgamations or buyouts, the participant must start a new participant authorization process, as described in Section 2.

Where a participant is requesting another participation class, the participant must start a new participant authorization process, as described in Section 2.

### 3.2 Additions/Changes to System Access

*Market participants* may need to add users to (or delete users from) access to the various software systems used to exchange information between themselves and the *IESO*. In these situations, see Market Manual 1, Part 1.3: Identity Management Operations Guide for information on system access.

– End of Section –

## 4. Participant Exit from the IESO-Administered Markets or Programs

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### 4.1 Overview

A participant's exit from participation in the *IESO-administered markets* may be triggered in two ways:

- an "Application for Withdrawal" submitted by the participant; or
- a *termination order* issued by the *IESO*.

Any organization that withdraws from the *IESO-administered markets* remains liable for all outstanding payments to the *IESO* relating to its previous participation in the *IESO-administered markets*.

### 4.2 Application for Withdrawal

A participant that no longer wishes to participate in any of the *IESO-administered markets* or applicable programs must notify the *IESO* in writing that it wishes to cease to be a *market participant* or an applicable program participant, specifying the date on which it wishes to withdraw. Participants must fulfill this obligation by completing and submitting to the *IESO*, by mail or courier, the "Application for Withdrawal" form. This withdrawal of participation process is distinct from terminating participation from the *IESO-administered markets*, which is further described in the next section.

*Market participants* with *registered facilities* shall apply to the *IESO* to transfer or de-register their applicable *facilities* before they submit their application for withdrawal<sup>11</sup>.

The date specified for withdrawal by a *market participant* with *registered facilities* shall not be earlier than the date on which:

- the last of the *market participant's* applicable *registered facilities* is to be de-registered by the *IESO* and, where applicable, *disconnected* from the *IESO-controlled grid*; or
- the last of the *market participant's* applicable *registered facilities* is to be transferred by the *IESO* to another eligible *market participant*.

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<sup>11</sup> See Market Manual 1: Market Entry, Maintenance & Exit, Part 1.2: Facility Registration, Maintenance & Exit.

A participant's application for withdrawal will be reviewed and assessed by the appropriate *IESO* groups with respect to its potential impact on the *reliability* and *security* of the *IESO-controlled grid*. Particular attention will be paid to the potential impact of any required de-registration of *facilities* that would result from the withdrawal. If the *IESO* concludes that the removal from service of the *registered facility* will or is likely to have an unacceptable impact on the *reliability* of the *IESO-controlled grid*, the *IESO* and the *market participant* shall commence the process described in the *market rules* Chapter 7, Section 9.6 and 9.7 and in Chapter 5, Section 4.8 as explained in Chapter 7, Section 2.4.5. The *registered facility* shall not be removed from service during the course of such process.

A participant withdrawing from the *IESO-administered markets* or applicable programs will be required to submit their final contact information together with a request to revoke all user system access and digital certificates by mail, courier or e-mail when notified by *IESO* Market Registration.

If the *IESO* determines that a participant's withdrawal can proceed as per the participant's withdrawal application, the *IESO* will send the participant a copy of the cover sheet of the approval document known as the Registration Approval Notification (RAN). This is the confirmation that the company is authorized to withdraw. The *IESO* will also update the participant's registration record to indicate the participant has withdrawn their participation in the *IESO-administered markets* or applicable programs. A *market participant* who has given notice of their intention to withdraw from the *IESO-administered markets* will cease to be a *market participant* on whichever of the following dates is the later:

- the date of withdrawal specified on the "Application for Withdrawal" form;
- the date on which the last of the *market participant's* applicable *registered facilities* is de-registered by the *IESO* and, where applicable, *disconnected* from the *IESO-controlled grid*;
- the date on which the last of the *market participant's* applicable *registered facilities* has been transferred by the *IESO* to another eligible *market participant*; or
- the date on which all payments due to be paid by the *market participant* to the *IESO* have been paid.

### 4.3 Termination Order

*Market participants* are monitored on an ongoing basis for compliance with their obligations under the *market rules*. A breach of the *market rules* may result in the *IESO* issuing to the *market participant* a financial or non-financial penalty, a *suspension order*, or a *termination order*.

The *IESO* can also issue a termination order if the *market participant* has been wound up, dissolved, or otherwise has ceased to exist.

A *termination order* results in the forced withdrawal (termination) of the *market participant* from the *IESO-administered markets*. As such, the termination of participation process is not detailed in the workflow in Figure 4-1.

For complete information on the compliance processes, including the issuance of *termination orders* by the *IESO*, see Market Manual 2: Market Administration, Part 2.6: Treatment of Compliance Issues.

## 4.4 Procedural Work Flow

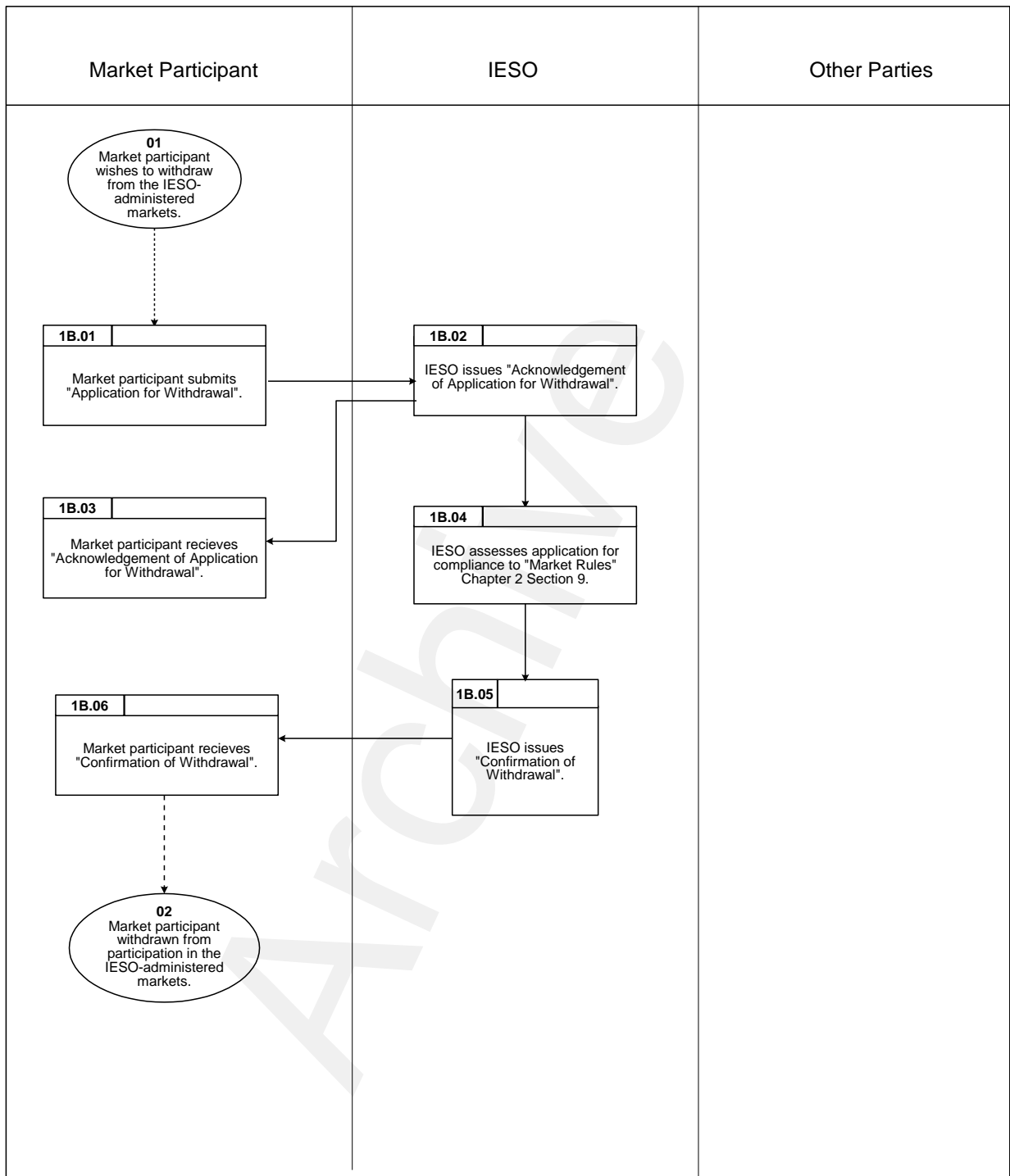
The following diagram represents the flow of information between the *IESO* and a *market participant* when the *market participant* wishes to voluntarily withdraw as a *market participant*.

Similar work flow is applicable when an applicable program participant wishes to voluntarily withdraw from an *IESO's* applicable program.

*IESO's* termination order of a *market participant's* rights to participate in the *IESO-administered markets* is not included in this diagram.

**Table 4–1: Legend for Market Participant Withdrawal Work Flow Diagram**

Legend	Description
Oval	An event that triggers task or that completes task. Trigger events and completion events are numbered sequentially within procedure (01 to 99)
Task Box	Shows reference number, party responsible for performing task (if “other party”), and task name or brief summary of task. Reference number (e.g., 1A.02) indicates procedure number within current <i>market manual</i> (1), sub-procedure identifier (if applicable) (A), and task number (02)
Solid horizontal line	Shows information flow between the <i>IESO</i> and external parties
Solid vertical line	Shows linkage between tasks
Broken line	Links trigger events and completion events to preceding or succeeding task



**Figure 4–1: Work Flow for Market Participant Withdrawal**

## 4.5 Procedural Steps

This section contains a table of the detailed tasks (steps) that comprise the process for the voluntary withdrawal of a participant from the *IESO-administered markets* or applicable programs. The following table contains seven columns:

### **Ref.**

The reference number for the task.

### **Task Name**

The task name as referenced in Figure 4-1.

### **Task detail**

Information about the task, including areas of responsibility.

### **When**

Information about when the task will be required.

### **Resulting information**

A list of the information that results from the task, including related *IESO* correspondence.

### **Method**

The format and method for completing the task.

### **Completion events**

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



Table 4–2: Legend for Procedural Steps

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1B.01	Participant submits “Application for Withdrawal”.	The Participant downloads the “Application for Withdrawal” from the <i>IESO</i> Web site. Participant completes and sends form to the <i>IESO</i> .	When the participant wants to withdraw from participation in all of the <i>IESO</i> -administered markets and/or applicable programs and after the <i>market participant</i> has requested that the <i>IESO</i> de-register or transfer any applicable registered facilities.	<i>IESO</i> receives information relating to the withdrawal including planned date of withdrawal.	Mail or courier.	“Application for Withdrawal” submitted to the <i>IESO</i> .
	Participant submits written notification to the <i>IESO</i> containing final contact information and request to revoke all user system access and digital certificates if applicable.	The participant submits a letter or e-mail to <i>IESO</i> Market Registration.	When standing bids, offers, schedules and physical bilaterals have been cancelled.	<i>IESO</i> receives final revocation information for digital certificates and termination of all contacts information in <i>IESO</i> registration system.	E-mail, Mail or courier.	Revocation of digital certificates and/or termination of all contact information in <i>IESO</i> registration system.

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
1B.02	<i>IESO</i> issues “Acknowledgement of Application for Withdrawal”.	The <i>IESO</i> receives the participant’s “Application for Withdrawal” and issues “Acknowledgement of Application for Withdrawal”.	Upon receipt of the participant’s “Application for Withdrawal”.	None.	None.	<i>IESO</i> conducts business impact assessment.
1B.03	Participant receives “Acknowledgement of Application for Withdrawal”.	Participant receives “Acknowledgement of Application for Withdrawal”.	When sent by <i>IESO</i> .	Receipt of “Application for Withdrawal” by the <i>IESO</i> is confirmed.	None.	Receipt of e-mail.
1B.04	<i>IESO</i> assesses application for compliance with <i>market rules</i> Chapter 2 Section 9.	Various groups within the <i>IESO</i> are notified by Market Registration of the participant’s intent to withdraw by e-mail along with a request they perform assessments to determine compliance with <i>market rules</i> Chapter 2 Section 9.	Receipt of internal e-mail from Market Registration indicating participant’s desire to withdraw as a participant.	Reports from various groups within the <i>IESO</i> detailing the compliance of the participant’s withdrawal as a participant.	Internal e-mail.	<i>IESO</i> groups inform <i>IESO</i> Market Registration of results of their assessments.
1B.05	<i>IESO</i> issues “Confirmation of Withdrawal Request” in a RAN document.	<i>IESO</i> determines that request for withdrawal of the participant is compliant and issues a RAN.	Upon <i>IESO</i> determination that the withdrawal of the participant complies with <i>market rules</i> Chapter 2 Section 9.	None.	None.	<i>IESO</i> end-dates the applicable participant’s registration record.

<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>
1B.06	Participant receives "Confirmation of Withdrawal Request" in the RAN document.	Participant receives a copy of RAN, confirming and detailing the withdrawal.	When sent by <i>IESO</i> .	None.	None.	Confirmation of date of participant's withdrawal, and any applicable details part of RAN.

– End of Section –

Archive

# Appendix A: Roles and Responsibilities

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The following mandatory contacts are needed for each organization to maintain participation with the *IESO*. The registration of these roles is done on-line, under “Register an Organization” page.

## Authorized Representative

Each organization needs at least one Authorized Representative registered with the *IESO*. The registered Authorized Representative signed the *IESO* participation agreement, was delegated by another Authorized Representative for the organization, or was registered before as a Main Executive Contact or Authorized Signatory.

An Authorized Representative:

- Signs the participation agreement between the organization and the *IESO*;
- Designates additional or replacement Authorized Representatives using the registration system;
- Registers Primary Contacts for the organization, using the registration system; and
- Receives occasional communications from the *IESO*.

## Primary Contact

Each organization needs at least one Primary Contact registered with the *IESO*. The Primary Contact has responsibility to serve as the *IESO*'s day-to-day contact.

A Primary Contact:

- Serves as the day-to-day contact for the *IESO*;
- Adds other Primary Contacts for the organization, using the registration system; and
- Registers Rights Administrators using the registration system.

## Rights Administrator

Each participant organization needs at least one Rights Administrator registered with the *IESO*. A Rights Administrator is responsible for granting and revoking system access for their organization to the *IESO* Information Systems.

A Rights Administrator:

- Registers Applicant Representatives for the organization, using the registration system; and
- Grants and revokes access to *IESO* systems for people and machine accounts in their organization, using the registration system.

## Applicant Representative

Each participant needs at least one Applicant Representative, preferably more, registered with the *IESO*. The Applicant Representative is responsible for tasks related to participation in a market or program, including keeping registered business contacts up-to-date.

An Applicant Representative:

- Coordinates with organization's Rights Administrators to ensure registered business contacts (the *IESO* will use when reaching out to the organization) are up-to-date;
- Updates the organization contact information;
- Submits requests for new participation in markets or programs;
- Updates documents such as licenses or the Emergency Preparedness Plan;
- Registers facilities; and
- Registers revenue meter installations.

– End of Section –

# References

The following table contains the list of all documents referenced in this procedure.

<b>Document ID</b>	<b>Document Title</b>
MDP_RUL_0002	Market Rules
MDP_PRO_0016	Market Manual 1: Market Entry, Maintenance & Exit Part 1.2: Facility Registration, Maintenance and De-registration
IMP_GDE_0088	Market Manual 1: Market Entry, Maintenance & Exit Part 1.3 PKI Operations Guide
MDP_PRO_0017	Market Manual 2: Market Administration Part 2.1: Dispute Resolution
MDP_PRO_0022	Market Manual 2: Market Administration Part 2.6: Treatment of Compliance Issues
MDP_PRO_0013	Market Manual 3: Metering Part 3.2: Metering Point Registration and Maintenance
MDP_PRO_0032	Market Manual 5: Settlements Part 5.2: Metering Data Processing
MDP_PRO_0045	Market Manual 5: Settlements Part 5.4: Prudential Support
MDP_PRO_0033	Market Manual 5: Settlements Part 5.5: Physical Markets Settlement Statements
IMO_PLAN_0001	Market Manual 7: System Operations Part 7.8: Ontario Power System Restoration Plan
IESO_MAN_0076	Market Manual 9: Part 9.1 Submitting Registration Data for the DACP
IMO_GDE_0001	Market Participant Emergency Planning Guidelines
IMO_MAN_0024	Market Manual 6: Participant Technical Reference Manual
MAN-44	Market Manual 12: Capacity Auctions
	Legislation Bill 210 “Electricity Pricing, Conservation and Supply Act, 2002”

– End of Document –