

NOTICE TO MARKET PARTICIPANTS AND STAKEHOLDERS

December 4, 2020

Re: **Final MSA Compliance Process**

As of today, revised versions of the MSA Compliance Process and associated forms are in effect and available [here](#). Market Participants with outstanding mitigation plan activities (milestones) should follow the revised MSA Compliance Process and use the new mitigation plan form once the mitigation plan is complete.

The MSA issued a [Notice](#) on August 7, 2020 indicating that a broad and collaborative consultation regarding potential revisions to the MSA Compliance Process may be appropriate and invited initial feedback from stakeholders. From a review of this feedback, six topic areas were identified, and the MSA issued a [Notice](#) on September 9, 2020 requesting stakeholder comments on these topic areas. Comments were received from nine stakeholders, and on September 25, 2020, the MSA issued a [Notice](#) containing these comments. After considering these comments, the MSA produced a draft revised MSA Compliance Process and compliance forms and issued a [Notice](#) on October 23, 2020 publishing this draft and requesting comments. The revised MSA Compliance Process and compliance forms were then presented and discussed during an MSA virtual stakeholder session held on October 29, 2020. Comments were received from seven stakeholders regarding the revised process and forms, which were made available in a [Notice](#) issued on November 16, 2020.

The MSA has carefully reviewed and considered all stakeholder comments received during this consultation. These comments helped to clarify the MSA Compliance Process and reduce the regulatory burden for market participants.

The MSA has made several changes in response to feedback received in the final round of stakeholder comments and during the MSA's virtual stakeholder session. In particular, efforts have been made to clarify communication protocols, self-reporting requirements, the enforcement process and outcomes (including forbearance), compliance forms, as well as opportunities to provide information. A document indicating the changes from the draft to final version is available [here](#).

While not all changes suggested by stakeholders have been included in the final version of the MSA Compliance Process, there are several areas that may merit future consideration. In particular, the MSA received feedback regarding the AESO's role in the compliance monitoring framework and the development of ISO rules and reliability standards. Stakeholders proposed the concept of a risk-based approach to compliance monitoring, the adoption of NERC guidance, and self-logging of non-compliance events. The MSA is not in a position to consult on the AESO's

approach to compliance monitoring and the development of ISO rules and reliability standards, and encourages stakeholders to engage with the AESO on these subjects. The MSA would be willing to participate in these discussions.

The MSA would like to thank stakeholders for their sustained and thoughtful participation in this consultation. Feedback is welcome regarding this consultation specifically, as well as the revised MSA Compliance Process generally, and such feedback may be sent to stakeholderconsultation@albertamsa.ca.

Sincerely,

Derek Olmstead
Market Surveillance Administrator