



Independent Electricity
System Operator

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

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

Issue 28.0

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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This *market manual* may contain a summary of a particular *market rule*. Where provided, the summary has been used because of the length of the *market rule* itself. The reader should be aware; however, that where a *market rule* is applicable, the obligation that needs to be met is as stated in the “Market Rules”. To the extent of any discrepancy or inconsistency between the provisions of a particular *market rule* and the summary, the provision of the *market rule* shall govern.

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Reference	Description of Change
Section 1, Section 2, Section 3 and Appendix A	Modified to update the participant authorization process to reflect the implementation of the on-line registration system.
Section 2	<p>Added Market/Program Participant Authorization Types and information for Demand Response Auction Participation and for Meter Data Associate Participation.</p> <p>Temporarily removed the Procedural Steps table under Participant Authorization.</p> <p>Removed Section 2.5 - Timelines for the Participant Authorization Activities as they are no longer valid. New timelines are currently under review.</p>

Market Manuals

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

“Market Entry, Maintenance & Exit Manual” is Volume 1 of the *market manuals*, where this document forms “Part 1.1: Participant Authorization, Maintenance & Exit”.

A list of the other component parts of the “Market Entry, Maintenance & Exit” *market manual* is provided in “Part 1.0: Market Entry, Maintenance & Exit Overview”, in Section 2, About This Manual.

Structure of Market Procedures

This *market manual* consists of the following contents:

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 detail 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 Part 1.0 “Market Entry, Maintenance & Exit Overview” document.

– End of Section –

1. Introduction

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 program participants. All references in this *market manual* to a ‘participant’ shall be deemed to include a reference to both, *market participant* and program participant.

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

- “Participant Authorization, Maintenance and Exit”;
- “Facility Registration, Maintenance and De-registration”^{1 2}; and
- “Identity Management Operations Guide”.

This *market manual*, Part 1.1 “Participant Authorization, Maintenance and Exit” is divided into three sub-procedures and is intended to act as a guide for *applicants* and participants as follows:

- Section 2 – Organization Registration and Participant Authorization;
- Section 3 – Participant Maintenance; and
- Section 4 – Participant Withdrawal.

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

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

1.3 Overview

Overviews of each sub-procedure (Participant Authorization, Participant Maintenance and Participant Exit) are provided in their respective sections.

1.4 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 program participation;
- download the relevant authorization application material from the *IESO* web site;
- 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 and maintain 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*.

IESO

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

1.5 Contact Information

General inquiries regarding the role of the *IESO*, becoming a market or program participant, or participant related questions should be directed to *IESO* Customer Relations. Contact information is available on the *IESO*'s web site (www.ieso.ca). The 'Contact Us' link at the top of the home page, when clicked, will redirect and display the *IESO* telephone numbers, e-mail, mail, and courier addresses.

During the participant authorization and registration process, *applicants*, will work with an *IESO* Market Registration Technical Officer, and individual contact information will be supplied to the *applicant* once the process has been initiated. *IESO* Market Registration staff may be contacted via market.registration@ieso.ca.

Correspondence that is sent to the *IESO* related to the Market Registration has to be identified with the subject: **Market Registration**.

– End of Section –

2. Participant Authorization

2.1 Overview

Anyone planning to participate in the *IESO-administered markets* or programs, or 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 or programs.

The participant authorization process allows the *IESO* to identify the market(s) and 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 2.6 below, “Components of the Participant Authorization Procedure”, including completion of a series of tests to determine the *applicant's* ability to inter-operate with the *IESO* across the internet.

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 when the participant authorization process is 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:

Registration of an Organization

This is described in Section 2.3.1 below.

Review of Market Rules

Chapter 2 of the *market rules* entitled “Participation” contains material relevant to the participant authorization process and should be thoroughly reviewed by all *applicants* to the *IESO-administered markets* 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.

Review of Participant Technical Reference Manual

The *participant technical reference manual* – specifically the sections relating to the *participant workstation* and voice communications – contains information about the technical infrastructure requirements an *applicant* must comply with in order to support their ability to inter-operate with the *IESO*. *Applicants* will be tested as to their compliance with these requirements as part of the participant authorization process. As such, the *participant technical reference manual* should be reviewed before application is made for authorization.

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 participants 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 applications for authorization must include copies of an *applicant's* relevant *OEB licence(s)*³.

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 NEB to the exporter. Further, the *IESO* shall not provide the *facilities* or otherwise 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*.

Depending upon the class of service applied for, all applications for authorization must include copies of an *applicant's* relevant NEB permit as stipulated in *market rules* Chapter 7 Section 2.2.7. *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

The *applicant* will be required to identify the *interties* between the *IESO control area* and adjacent *control areas* across which it wishes to import or export *energy* and/or *operating reserve*⁴. The *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.

Distribution or transmission connection agreement

Each *market participant* must have a signed connection agreement with the applicable *transmitter* (if connected to the *IESO-controlled grid*) or with the applicable distributor (if connected to the distribution system), as the case may be.

³ For more information on obtaining *OEB licences*, visit the *OEB* Web site (<http://www.oeb.gov.on.ca/>)

⁴ *Market participants* may import *energy* and *operating reserve* but can only export *energy*.

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 number⁵

Emergency Preparedness Plan

Participation in Ontario's electricity market requires all *participants* to initially prepare and file emergency preparedness plans describing how they will respond to emergencies affecting the supply or delivery of electricity, should the need arise. 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 confirm that they are able to inter-operate with all applicable *IESO* systems through their fully functional *participant workstation*⁶. The *applicants* will also be required to certify that their *participant workstations* comply with all applicable technical requirements and will be required to complete any *participant workstation* testing that may be requested by the *IESO*.

Training and Procedures for Participation in the IESO-Administered Markets

Applicants for authorization should have the appropriate employee training and procedures in place in order to ensure they are prepared for participation in the market as soon as they are authorized.⁷

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, the *IESO* will send a copy of the cover sheet of the approval document known as the New Facility Notification (NFN). This is the confirmation that the company is authorized to participate.

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*.

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.

⁵ For information on HST registration, visit the Canada Customs and Revenue Agency Web site (<http://www.ccra-adrc.gc.ca/menu-e.html>).

⁶ Technical requirements for the participant workstation can be found in the "Participant Technical Reference Manual".

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

The *IESO* will, then, create a record for the *applicant* in the *IESO* registration system, containing the information supplied by the *applicant*. This record will be the online repository for all of organizations' information and documents related to their participation in the *IESO*-administered markets and 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 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](#) 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 (see Section 2.3.1 above) can initiate the authorization to participate process by submitting a request using the on-line registration system. Based on the type of market or program participation selected, 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. These submissions, which are further explained below, may 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

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.
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 requested by *IESO*)
- 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 specified 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 activity) 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: Settlements, Part 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 (i.e. less than ten). 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. Please note that 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 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; refer to IESO_MAN_0076 Market Manual 9: Part 9.1 Submitting Registration Data for the DACP.

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 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 various market systems/tools or *dispatch workstations* 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 user.

The on-line registration 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 inter-operation with participants is accomplished through the *participant workstation* via the Internet or frame relay, except for the transfer of real-time information⁸. Examples of the type of information relayed through the Internet include:

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

During the participant authorization process, tests as required by the *IESO* may be conducted 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*.

Successful completion of the *participant workstation* testing process will require the *applicant* to have set up, in advance of the testing time period, the necessary hardware and software infrastructure to support the testing process.

Applicants should review the *participant technical reference manual* for information about the appropriate hardware and software installations required for *participant workstation* testing.

Applicants are responsible to ensure that personnel receive appropriate training for testing activities.

2.4 Market/Program Participant Authorization Types

After the organization was registered with the *IESO*, *applicants* may begin the market or program participant authorization through Online *IESO*, by choosing the type of participation, from the following options:

Market Participant Authorization types:

- Generator
- Load
- Energy Trader
- Distributor
- Transmitter
- Demand Response Auction

⁸ See the "Participant Technical Reference Manual".

Pre-Auction Authorization

In order to participate in the demand response auction, prospective participants are required to be authorized as demand response auction participants, at least 40 business days in advance of the *demand response auction*.

Post-Auction Authorization

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. These registration requirements are 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
- 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.

Once the *applicant* is fully authorized, the *IESO* will send a copy of the cover sheet of the approval document known as the New Facility Notification (NFN). This is the confirmation that the company is authorized to participate.

2.5 Disputes

Either the *IESO* or an *applicant* may initiate the Dispute Resolution process⁹ 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* or to cause or permit electricity to be conveyed into, out of, or through the *IESO-controlled grid*.

2.6 Procedural Work Flow

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

⁹ For more information on the Dispute Resolution process, see “Market Manual 2: Market Administration, Part 2.1: Dispute Resolution”.

Table 2–1: Legend for Work Flow Diagrams

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

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Authorize Market and Program Participation

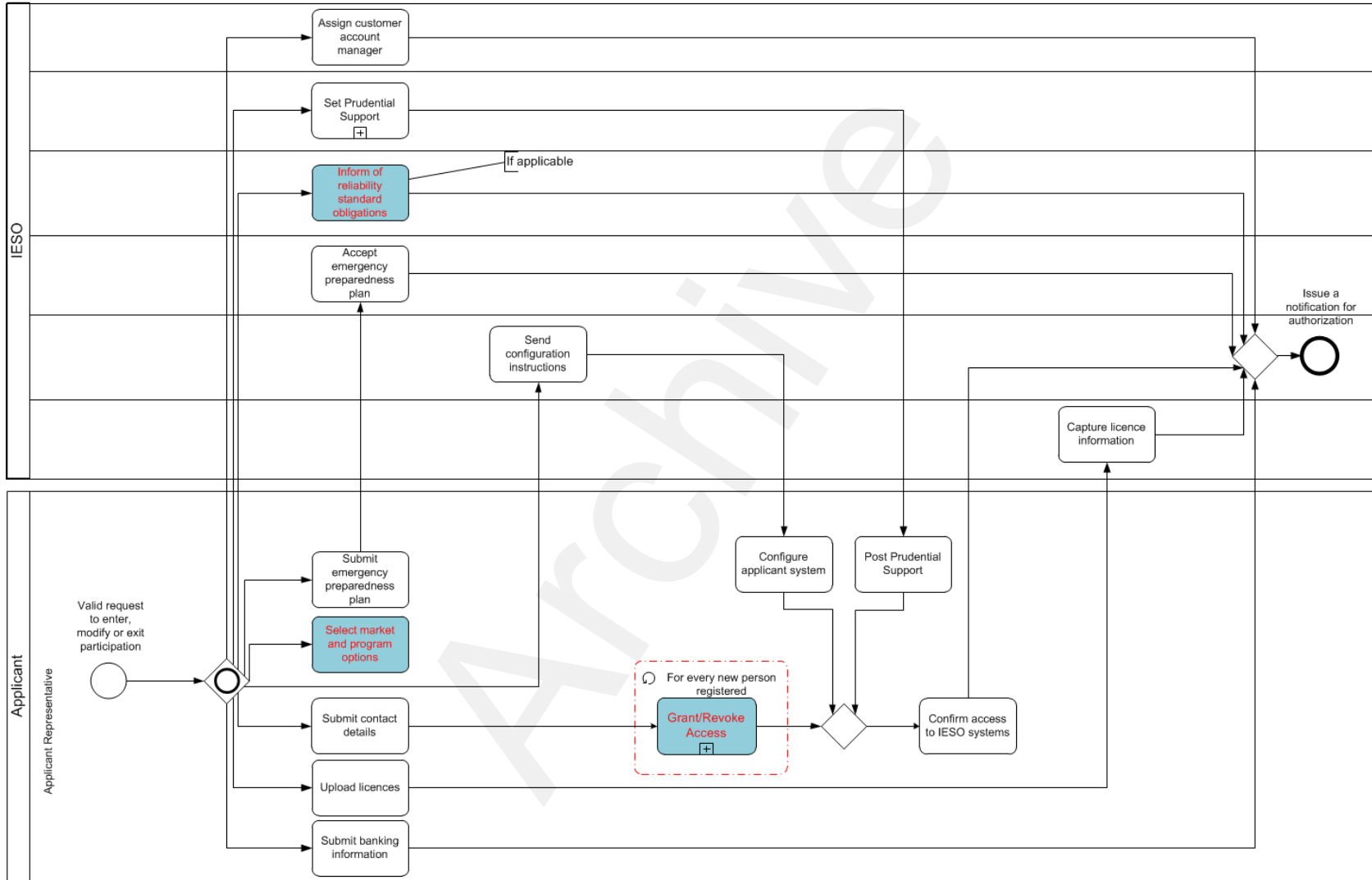


Figure 2-1: Work Flow for Participant Authorization

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3. Participant Maintenance

3.1 Overview - Changes to Participant Record Information

Participants may occasionally require changes to the information contained in their record in the registration system. For example, participants may require a change of address or contact information, or, may request another participation class. Areas within the registration where additions or changes may be required include:

- Market Participant Information;
- Market Type Applications;
- Bank account information;
- Class Applications;
- Market Participant Contacts (mandatory contacts and business contacts);
- Prudential Support Information; and
- Revised documentation.

It is the responsibility of the *applicant* to review, update and maintain this information in the on-line registration system to ensure that all of the records are correct.

If the change pertains to an officially signed document that cannot be submitted directly in the on-line registration 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 *participation agreement*, a “Participation Amending Agreement” must be submitted to the *IESO*, detailing the change of name. The participant must also update the Prudential 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 from time to time be required to add or delete users from access to the various software systems used to exchange information between themselves and the *IESO*. See

“Market Manual 1: Part 1.3: Identity Management Operations Guide” for more information on system access.

– End of Section –

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4. Market Participant Exit from the IESO-Administered Markets

4.1 Overview

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

- an “Application for Withdrawal” submitted by the *market 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 *market participant* who no longer wishes to participate in any of the *IESO-administered markets*, or to cause or permit electricity to be conveyed into, through or out of the *IESO-controlled grid*, must notify the *IESO* in writing that it wishes to cease to be a *market participant*, specifying the date on which it wishes to withdraw. *Market participants* must fulfill this obligation by completing and submitting to the *IESO*, by mail or courier, the “Application for Withdrawal” form. This process is distinct from terminating participation from one or more particular markets, which is accomplished by having the *IESO* change the end date in the appropriate Market Application record in the registration. *Market participants* must indicate on the “Application for Withdrawal” form the date on which they intend to cease to participate in the *IESO-administered markets*, or to cause or permit electricity to be conveyed into, through or out of the *IESO-controlled grid*.

Market participants with *registered facilities* shall apply to the *IESO* to transfer or de-register their applicable *facilities* before they submit their application for withdrawal¹⁰.

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 registration of the last of the *market participant's* applicable *registered facilities* is to be transferred by the *IESO*.

¹⁰ See “Market Manual 1: Market Entry, Maintenance & Exit, Part 1.2: Facility Registration, Maintenance & Exit”.

A *market 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 *market participant* withdrawing from the *IESO-administered markets* 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 *market participant's* withdrawal can proceed as per the *market participant's* withdrawal application, the *IESO* will send the *market participant* a copy of the cover sheet of the approval document known as the New Facility Notification (NFN). This is the confirmation that the company is authorized to withdraw. The *IESO* will also update the necessary fields in the *market participant's* registration record to indicate the *market participant* has withdrawn their participation in the *IESO-administered markets*. The *IESO* should contact the host LDC (where applicable).

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 registration for 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.

4.2.1 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*. A *termination order* results in the forced withdrawal of the *market participant* from the *IESO-administered markets*. As such, this process is not detailed in the workflow in Figure 4–1. For complete information on the compliance process, including the issuance of *termination orders* by the *IESO*, see “Market Manual 2: Market Administration, Part 2.6: Treatment of Compliance Issues”.

4.3 Procedural Work Flow

4.3.1 Application Process

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*. *IESO's* *termination order* of a *market participant's* rights to participate in the *IESO-administered markets* or to cause or permit electricity to be conveyed into, through or out of the *IESO-controlled grid* is not included.

Table 4–1: Legend for Work Flow Diagrams

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

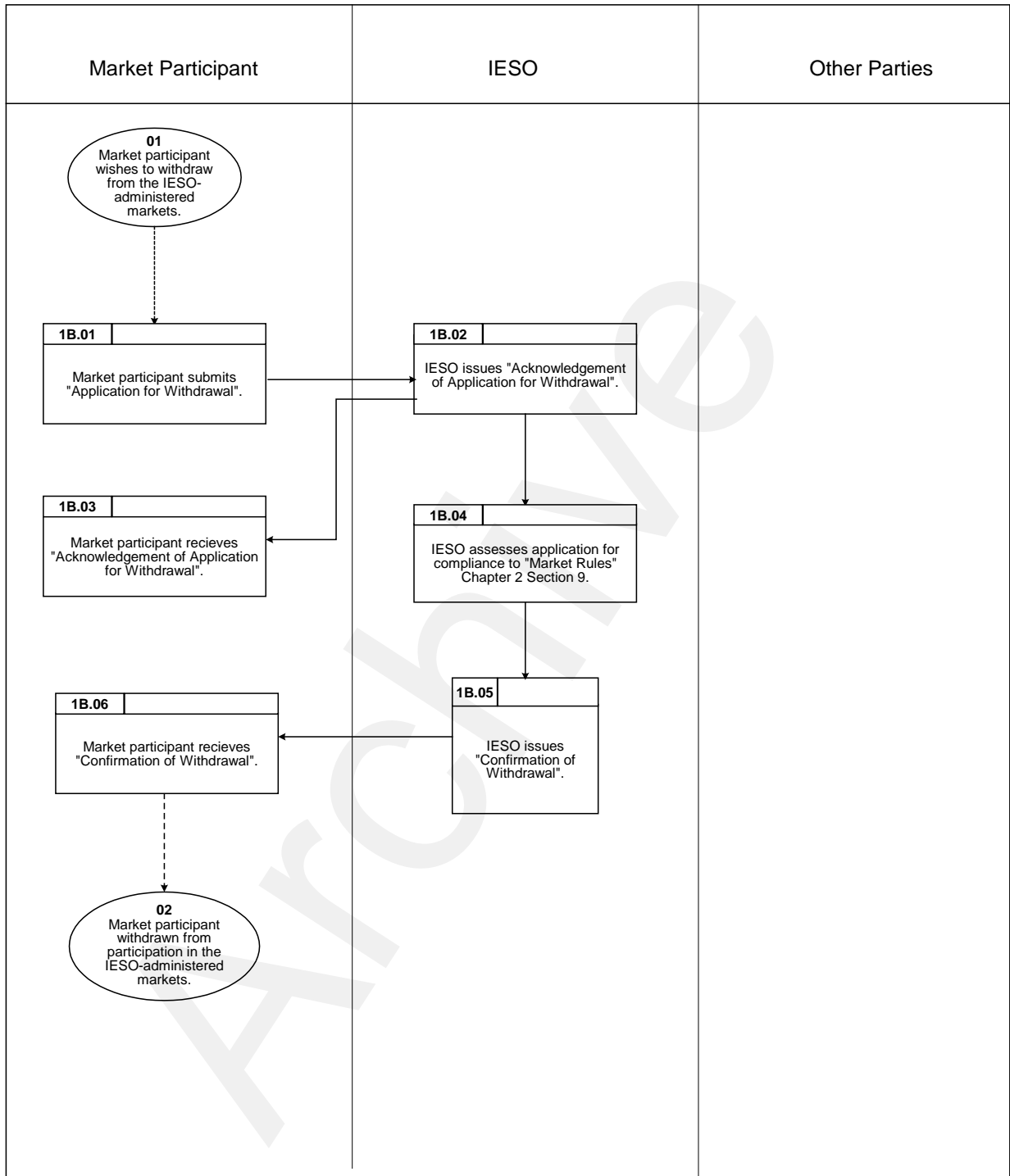


Figure 4–1: Work Flow for Market Participant Withdrawal

4.4 Procedural Steps

This section contains a table of the detailed tasks (steps) that comprise the process for the voluntary withdrawal of a *market participant* from the *IESO-administered markets*. 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	<i>Market participant submits “Application for Withdrawal”.</i>	<i>The market participant downloads the “Application for Withdrawal” from the IESO Web site. Market participant completes and sends form to the IESO.</i>	<i>When the market participant wants to withdraw from participation in all of the IESO-administered markets, or to no longer cause or permit electricity to conveyed into, through or out of the IESO-controlled grid and after the market participant has requested that the IESO de-register or transfer any applicable registered facilities.</i>	<i>IESO receives information relating to the withdrawal including planned date of withdrawal.</i>	Mail or courier.	“Application for Withdrawal” submitted to the IESO.

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
	<i>Market participant</i> 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 <i>market participant</i> 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 Registration.	E-mail, Mail or courier.	Revocation of digital certificates and/or termination of all contact information in Registration.
1B.02	<i>IESO</i> issues “Acknowledgement of Application for Withdrawal”.	The <i>IESO</i> receives the <i>market participant’s</i> “Application for Withdrawal” and issues “Acknowledgement of Application for Withdrawal”.	Upon receipt of the <i>market participant’s</i> “Application for Withdrawal”.	None.	None.	<i>IESO</i> conducts impact assessment.
1B.03	<i>Market participant</i> receives “Acknowledgement of Application for Withdrawal”.	<i>Market participant</i> 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.

Ref.	Task Name	Task Detail	When	Resulting Information	Method	Completion Events
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 <i>market participant's</i> 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 <i>market participant's</i> desire to withdraw as a <i>market participant</i> .	Reports from various groups within the <i>IESO</i> detailing the compliance of the <i>market participant's</i> withdrawal as a <i>market participant</i> .	Internal e-mail.	<i>IESO</i> groups inform <i>IESO</i> Market Relations Consultant of results of the assessments.
1B.05	<i>IESO</i> issues "Confirmation of Withdrawal Request".	<i>IESO</i> determines that request for withdrawal of the <i>market participant</i> is compliant and the Market Relations Consultant issues to the <i>market participant</i> a "Confirmation of Withdrawal Request", signed by the VP of Market Services.	Upon <i>IESO</i> determination that the withdrawal of the <i>market participant</i> complies with <i>market rules</i> Chapter 2 Section 9.	None.	None.	Terminated/Withdrawn status applied to <i>market participant's</i> Authorized task in the registration. <i>Market participant</i> withdrawn from Applicant's List on <i>IESO</i> Web site.
1B.06	<i>Market participant</i> receives "Confirmation of Withdrawal Request".	<i>Market participant</i> receives "Confirmation of Withdrawal Request".	When sent by <i>IESO</i> .	None.	None.	Confirmation of date of withdrawal as a <i>market participant</i> .

– End of Section –

Appendix A: Roles and Responsibilities

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.

Document ID	Document Title
MDP_RUL_0002	Market Rules
MDP_PRO_0015	Market Manual 1: Market Entry, Maintenance & Exit Part 1.0: Market Entry, Maintenance & Exit Overview
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: Demand Response Auction
	Legislation Bill 210 "Electricity Pricing, Conservation and Supply Act, 2002"
	Regulation 339/02 (Under the Ontario Energy Board Act, 1998) "Electricity Pricing"
	Regulation 433/02 (Under the Ontario Energy Board Act, 1998) "Electricity Pricing"

– End of Document –