

# ISO Rules

## Part 100 General

### Division 103 Administration

#### Section 103.2 Dispute Resolution



External Consultation Draft  
October 22, 2018

#### Applicability

1 Section 103.2 applies to:

(a) a **market participant**, except for:

- (i) a **market participant** that is the **legal owner** of a **transmission facility** where the person who is eligible to apply for the construction and operation of the **transmission facility** was determined by a competitive process developed by the **ISO** in accordance with the **Act**;
- (ii) a **person** who has received an **ISO** decision pursuant to the categories listed as **ISO** reviewable decisions in the *Capacity Market Regulation*; and

(b) the **ISO**.

#### Requirements

##### Informal Dispute Resolution

**2(1)** The first step a **market participant** must take to resolve a dispute with the **ISO** is to make reasonable efforts to informally resolve the dispute with the appropriate **representative** of the **ISO**.

**(2)** If a **market participant** is unsure of the appropriate **representative** of the **ISO** to contact about the dispute it may call the **ISO** main reception telephone number posted on the **ISO** website.

##### Submission of a Written Dispute

**3(1)** If a **market participant** does not receive a satisfactory or timely resolution to its informal dispute resolution efforts, it may proceed to the second step of the dispute resolution process and submit a written dispute to the **ISO**.

**(2)** The subject matter for a written dispute may include a concern about:

- (a) an **ISO rule**, **reliability standard** or **ISO tariff** provision;
- (b) the **ISO's** interpretation or application of an **ISO rule**, **reliability standard** or **ISO tariff** provision;
- (c) an **ISO board** decision relating to the **ISO's** budget review process; or
- (d) the operation and conduct of the **ISO** in carrying out its duties and responsibilities under the **Act** or other legislation where a **market participant** is concerned about:
  - (i) specific and measurable error by the **ISO**;
  - (ii) the **ISO** not having considered complete information in reaching a determination; or
  - (iii) an element of unfairness in the process used by the **ISO** in reaching a determination.

**(3)** A written dispute must:

- (a) include the full legal name of the **market participant** directly affected by the matter and the

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contact information the **market participant** will use for receipt of all notices and communications;

- (b) include the nature and basis of the dispute, a proposed solution to the dispute and any other material previously submitted to or received from the **ISO**;
- (c) be signed by an officer of the **market participant** if it is a corporation, one of its partners if a partnership, or by the **market participant** personally if an individual person;
- (d) be submitted to the **ISO** at its head office, attention “ISO General Counsel”; and
- (e) be submitted to the **ISO** within thirty (30) **business days** of an **ISO board** decision, if the dispute is regarding a decision concerning the **ISO’s** budget review process.

#### Acknowledgement of Receipt

**4** Within ten (10) **business days** of receiving the written dispute, the **ISO** general counsel must respond to the **market participant** in writing, acknowledging receipt of the written dispute and identifying the **ISO** vice president accountable for handling the dispute.

#### Review of a Written Dispute

**5(1)** In the case of a written dispute related to the budget review process, the **ISO board** must, within thirty (30) **business days** of the **ISO** general counsel issuing the acknowledgment of receipt, review the dispute and advise the **market participant** in writing of its decision regarding the matter in dispute.

**(2)** In the case of all other written disputes, the **ISO** vice president accountable for the dispute must, within thirty (30) **business days** of the **ISO** issuing the acknowledgment of receipt, review the dispute and advise the **market participant** in writing of the **ISO** decision, including reasons, regarding the matter in dispute.

**(3)** If a written dispute is not resolved to the **market participant’s** satisfaction, the **market participant** may:

- (a) agree with the **ISO** to seek resolution through a mediation or arbitration process; or
- (b) pursue any other remedies available to it under the law, including filing a complaint with the **Commission** or **Market Surveillance Administrator**, or commencing a court action.

#### Assumption of Resolution

**6(1)** If a **market participant** does not object to the **ISO’s** written decision regarding a dispute within thirty (30) **business days** of the delivery of the written decision, the **ISO** may close the dispute file.

**(2)** The file closing does not prevent the **market participant** or the **ISO** from initiating discussions regarding the matter in the future.

#### No Delay

**7** The initiation of a dispute resolution process under this section will not entitle a **market participant** to withhold or delay payment of any amounts due and owing to the **ISO**, nor will it stay the implementation of an **ISO** determination pending resolution of the dispute.

#### Record Retention

**8** The **market participant** and the **ISO** must each create and maintain their own records in relation to a dispute.

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#### Revision History

<b>Effective</b>	<b>Description</b>
xxxx-xx-xx	Revisions to the Applicability section.
2016-11-29	Revisions to the Applicability section
January 5, 2010	Supersedes October 1, 2009 Version