



Alberta Electric System Operator

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Compliance Quarterly Report

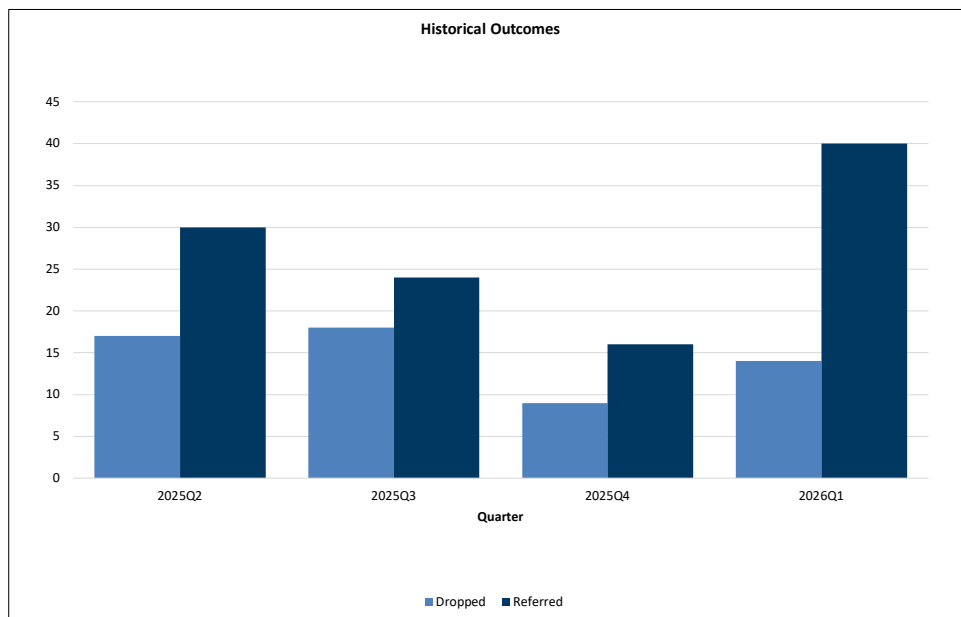
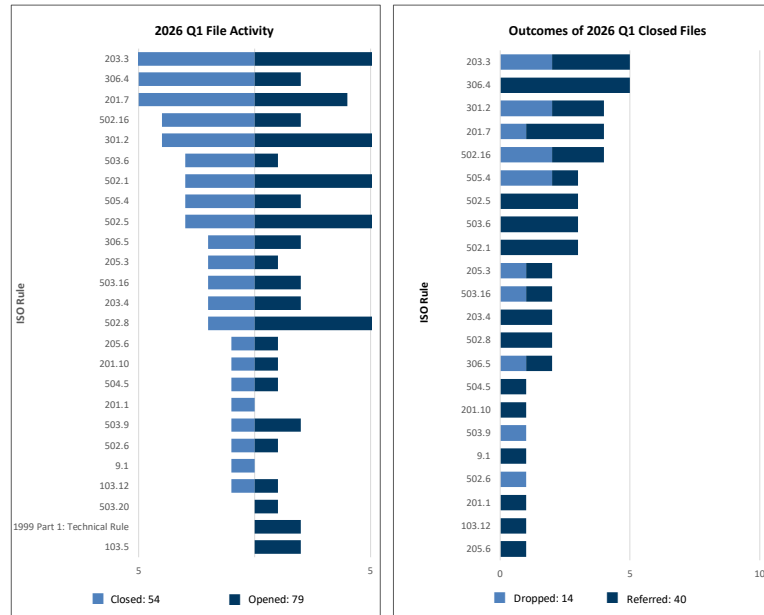
Q1 2026

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Compliance Quarterly Report - ISO Rules - 2026 Q1

The following charts summarize the activities of the ISO Rules External Compliance Monitoring group in Q1 of 2026 and the distribution of events over the past 4 quarters.

Please refer to the attached help documentation for details on interpreting the charts below. For any questions regarding this report, please send an email to isorulescompliance@aeso.ca.



Compliance Quarterly Report - ISO Rules - 2026 Q1

The following charts summarize the activities of the ISO Rules External Compliance Monitoring group in Q1 of 2026 and the distribution of events over the past 4 quarters.

Rule	2025Q2	2025Q3	2025Q4	2026Q1
103.12	0	0	0	1
201.1	0	0	0	1
201.10	0	1	0	1
201.3	1	0	0	0
201.7	1	1	1	4
203.1	2	4	0	0
203.3	9	6	4	4
203.4	0	0	1	2
205.3	0	0	0	1
205.5	2	1	1	0
205.6	0	0	1	1
206.2	0	2	0	0
301.2	1	0	1	2
304.5	0	1	0	0
306.4	1	0	0	5
306.5	3	0	2	1
502.1	0	0	0	3
502.16	1	1	1	2
502.5	0	0	0	3
502.6	1	0	1	0
502.8	3	2	2	2
503.16	3	2	0	1
503.6	0	1	0	3
504.5	0	0	0	1
505.3	1	1	0	0
505.4	1	1	1	1
9.1	0	0	0	1

Participant	2025Q2	2025Q3	2025Q4	2026Q1
P1	0	0	0	2
P2	0	1	0	0
P3	1	0	0	1
P4	0	0	1	0
P5	0	2	0	0
P6	0	0	0	1
P7	1	0	0	1
P8	0	0	0	1
P9	0	0	0	1
P10	1	0	0	0
P11	1	0	0	0
P12	1	0	0	1
P13	0	0	0	2
P14	0	0	0	1
P15	2	0	0	0
P16	0	1	0	0
P17	2	2	0	0
P18	0	1	1	1
P19	1	1	0	0
P20	0	0	0	1
P21	1	0	0	0
P22	0	1	0	0
P23	0	0	0	1
P24	0	0	0	1
P25	0	0	1	1
P26	0	0	0	1
P27	0	0	1	0
P28	0	1	0	0
P29	1	0	0	1
P30	0	0	2	0
P31	0	2	0	0
P32	0	0	0	1
P33	0	0	0	1
P34	0	0	0	1
P35	0	1	0	1
P36	0	0	1	0
P37	1	0	0	0
P38	0	0	0	1
P39	1	3	1	0
P40	0	0	1	0
P41	1	1	0	0
P42	0	0	2	0
P43	1	0	1	0
P44	0	1	0	1
P45	1	0	0	0
P46	0	0	0	1
P47	0	0	1	0
P48	0	0	0	2
P49	0	0	0	1
P50	0	0	1	0
P51	0	1	0	0
P52	0	2	0	1
P53	1	0	0	0
P54	2	0	0	0
P55	2	0	0	1
P56	1	0	0	0
P57	1	0	0	0
P58	0	0	0	1
P59	0	0	0	1
P60	0	0	0	1
P61	1	2	0	0
P62	1	0	0	0
P63	0	1	0	0
P64	1	0	0	0
P65	0	0	0	2
P66	0	0	1	0
P67	1	0	0	1
P68	0	0	0	2
P69	0	0	1	2
P70	1	0	0	0
P71	1	0	0	0

There were 79 files opened during Q1 2026 and 54 files closed. Of the 54 files closed in the quarter, there were 40 referrals to the MSA of suspected contraventions. These referrals are distributed across 20 ISO rules.

The 110 referrals to the MSA for over the past 4 quarters are distributed across 71 market participants and 27 ISO rules.

Note 1: Because the AESO may refer multiple events in a single referral to the MSA, the AESO's referral count may differ from the MSA's count of referrals or penalties issued in a given period. In addition, the applicable ISO rules may change during a case, so the rule identified at file opening may differ from the rule at file close. Note 2: This report includes all activities associated with the compliance monitoring of Section 9.1 of the ISO rules.

Alberta Reliability Standards (ARS)

Summary of Registered Entities

The following is a summary of the ARS registered entities by both their Alberta Risk Based Compliance Monitoring Program (ARCMP) entity impact potential (Figure 1), and their Functional Entity (FE) type (Figure 2). Note that a single entity can be registered as multiple FE types.

Figure 1 – Entity Impact Potential Summary

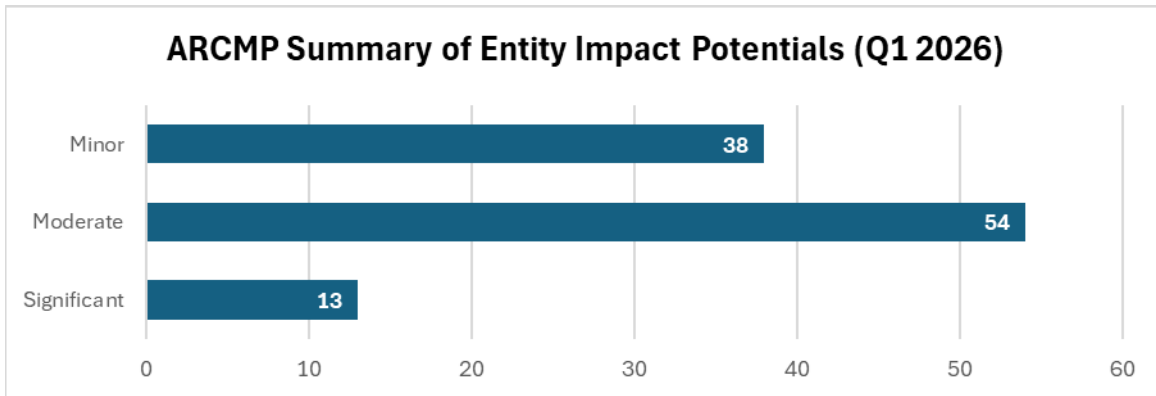
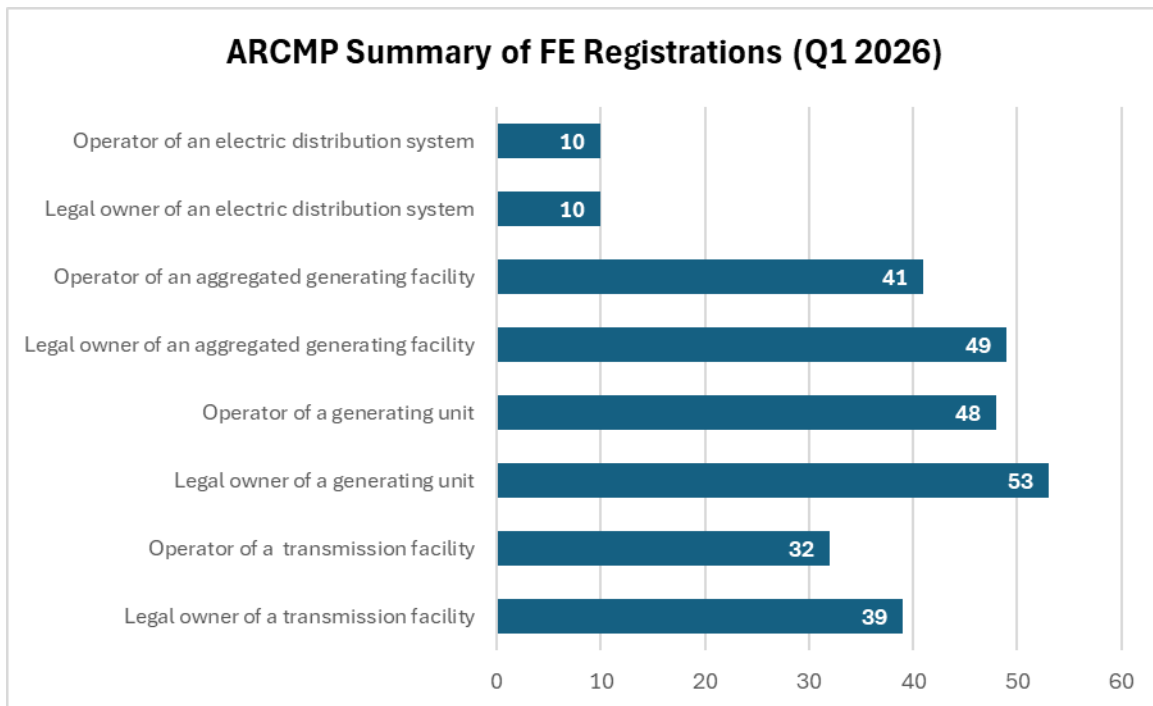


Figure 2 – Entity FE Registration Summary



ARS Compliance Monitoring Activities & Results

The following is a summary of the completed ARS External Compliance Monitoring activities (Figure 3) and any suspected contraventions (SCs) or Areas of Concern (AOC) which the ARS compliance monitoring team identified during its activities (Figure 4) by ARS requirement.

Figure 3 – Completed ARS Monitoring Activities

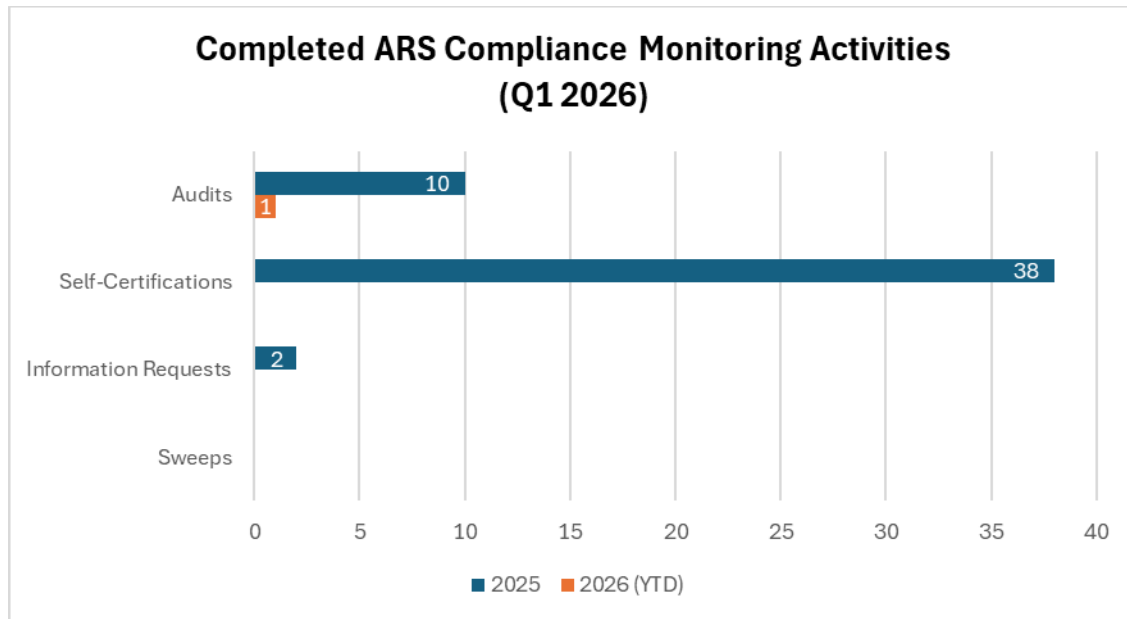
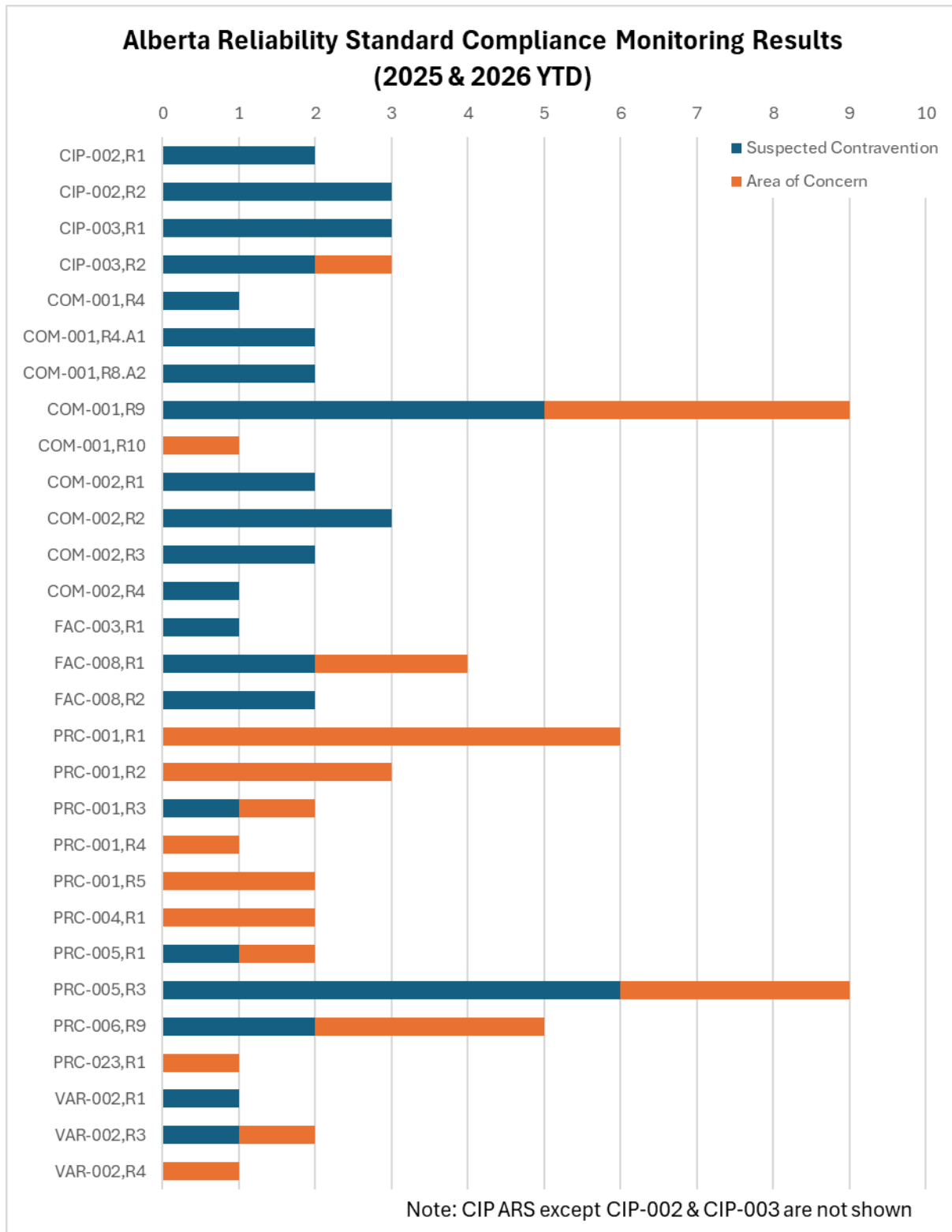


Figure 4 – Identified SCs and AOCs by ARS Requirement



Common Terminology

Area of Concern	The AESO identified a concern that, if not addressed by the entity, could result in a suspected contravention of a Reliability Standard.
Category	Each Compliance File has an associated Category which refers to the ISO rule or Reliability Standard which may have been contravened. In the case of multiple categories, a principle category is assigned to the file.
CIP	Refers to the Critical Infrastructure Protection Reliability Standards
Compliance File	A compliance file refers to one or more Flagged Events that have been logged for Preliminary Assessment, or where a potential contravention has been identified through a Compliance Monitoring Audit in accordance with Section 103.12 of the ISO rules, <i>Compliance</i> . Every Compliance File has a status of Open, Dropped, Closed or Referred. Each Compliance File is applicable to a single market participant and has an associated File Date and Category.
Compliance Monitoring Audit	As described in Section 103.12 of the ISO rules, <i>Compliance</i> . The process of monitoring or review of a TFO's compliance with subsection 9.1.5 of Section 9 of the ISO rules, <i>Transmission</i> .
Compliance Monitoring Audit Report	A report described in subsection 9(4) of Section 103.12 of the ISO rules, <i>Compliance</i> , which communicates the results of the Compliance Monitoring Audit to the TFO and provides support for any referrals to the MSA.
Date of Discovery	For an internal or external referral, the date that the referral was received. For an event identified by Monitoring, the date on which the AESO discovers the event and logs it for Preliminary Assessment.
Date of Notification	The date that a TFO is notified of a Compliance Monitoring Audit of its transmission facility project and a request for information that facilitate commencement of the Compliance Monitoring Audit.

Table Specific Terminology

Origin	A Compliance File has an origin which is an indication of how the Flagged Event was identified e.g. Monitoring, Internal Referral or External Referral
External Referral	A File Origin of an External Referral is a potential ISO rule or Reliability Standard contravention identified by individuals outside the AESO and referred to Compliance for a more detailed examination.
Internal Referral	A File Origin of an Internal Referral is a potential ISO rule or Reliability Standard contravention identified by other (non-Compliance) personnel in the AESO in the course of their own work and referred to Compliance for a more detailed examination.
Analysis Status	The current state of a Compliance File being assessed for a potential contravention. Either an Open File or a Closed File.
Open File	The status of a Compliance File which has been opened but not yet been Dropped or Referred to the MSA.
Closed File	The status of a Compliance File which has been Closed because the event was either Dropped or Referred to the MSA.
Status	The state of a Compliance File after it has been Closed. Either a Dropped File or a Referred File.
Dropped File	The status of a Compliance File which is closed is not a Referred File. A File may be dropped for a variety of different reasons including: unreliable data, AESO IT system problems, Mitigating Factors as defined in Section 103.12 of the ISO rules, <i>Compliance</i> , or an assessment that no rule has been contravened.

Entity impact potential	A qualification of the overall impact for a specific entity on the reliability of the Interconnected Electric System.
File	Synonym for Compliance File.
File Date	A unique date associated with a Compliance File. In the case of ISO rules compliance, this is the date of the event itself.
Files Closed in Period	Compliance Files whose status changed to either Dropped File or Referred File within the reporting period. Note that these may have file dates from earlier quarters.
Files Opened in Period	Compliance Files with a Date of Discovery falling within the reporting period.
Flagged Event	A collection of one or more submissions or actions carried out by a market participant that may form the basis of a compliance file. Flagged events can come from Monitoring, Internal or External Referrals.
Information Request	As described in Section 103.12 of the ISO rules, <i>Compliance</i> , an Information Request is a letter submitted to a market participant describing the particulars of a potential ISO rule or Reliability Standard contravention and seeking the market participant's input on the event.
Masked Participant ID	A unique identifier associated with each market participant for tracking Referred Files for that participant but without revealing the particular participant. The Masked Participant ID will NOT be consistent from report to report.
Masked Transmission Facility Owner (TFO)	A unique identifier associated with each TFO for tracking Compliance Monitoring Audits for that participant but without revealing the TFO name. The Masked TFO ID will NOT be consistent from report to report.
Monitoring	Queries, reports and other tools run by Compliance on a regular basis to identify Flagged Events.
Preliminary Assessment	As described in Section 103.12 of the ISO rules, <i>Compliance</i> . The process of carrying out a detailed examination of a potential ISO rule or Reliability Standard contravention (Which is separate from a Compliance Monitoring Audit). This starts with the opening of a Compliance File and culminates in a decision to: send an Information Request regarding the event to the relevant market participant; to conclude

Referred File	The status of a Compliance File for which a referral regarding the file has been made to the MSA in accordance with Section 103.12 of the ISO rules, <i>Compliance</i> .
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	that the data does not support an assessment of non-compliance and to drop the event; or, potentially, to make a referral to the MSA.
Referrals in Period	Compliance Files which have been referred to the MSA in the period. Note that these may have file dates from previous quarters
Self-certification	A compliance monitoring activity in which an entity certifies its compliance status with a subset of reliability standards. The AESO may require an entity to provide evidence as part of their self-certification.
Suspected Contravention	The AESO identified a suspected contravention for a reliability standard requirement.
Sweep	A compliance monitoring activity in which the AESO issues a information request to multiple entities to assess potential, emerging and/or systemic risks to the Interconnected Electric System.
TFO Records	Documents, correspondences and other records of information that support compliance with subsection 9.1.5 of Section 9 of the ISO rules, <i>Transmission</i> .