

Bulletin 2018-20

December 20, 2018

Specified penalties for contraventions of AUC rules

(A) Amendments to:

- i. **Rule 021: Settlement System Code Rules**
- ii. **Rule 028: Natural Gas Settlement System Code Rules**
- iii. **Rule 003: Service Standards for Energy Service Providers**

(B) New Rule 032: Specified Penalties for Contravention of AUC Rules

Following a rule review and rule development process, on December 11, 2018, the Commission approved Rule 032: *Specified Penalties for Contravention of AUC Rules* and amendments to Rule 021: *Settlement System Code Rules*, Rule 028: *Natural Gas Settlement System Code Rules* and Rule 003: *Service Standards for Energy Service Providers* (Formerly titled: *Service Quality and Reliability Performance Monitoring and Reporting for Regulated Rate Providers, Default Supply Providers and Retailers*), with an effective date of January 1, 2019.

Because the approved revisions of Rule 021 and Rule 028 involve system changes, the implementation timing for market participants' system changes is set for June 22, 2019. Although the system implementation for the Rule 021 and Rule 028 is set for June 22, 2019, the Commission will continue to require that the most accurate and up-to-date information be provided, in accordance with Rule 021 and Rule 028 as of January 1, 2019.

Background:

On June 11, 2018, Bill 13: *An Act to Secure Alberta's Electricity Future* came into force, which empowered the Commission to apply financial penalties to entities violating a Commission order, rule or decision. The Commission outlined a two-phase process for developing the specified penalties framework contemplated in Bill 13.

In Phase 1, the Commission held stakeholder consultations to review and revise Rule 021 and Rule 028 to implement specified penalties for better customer care and billing rules.

In Phase 2, the Commission consulted with stakeholders to further strengthen the AUC customer care and billing rules by proposing changes to Rule 003. Concurrent with the review of AUC Rule 003, the Commission also introduced, and consulted stakeholders on, the new Rule 032. Rule 032 sets out the specific financial penalties for contraventions of the AUC rules listed in the penalty table of the rule.

This bulletin, along with the final approved Rule 003, Rule 021, Rule 028, Rule 032 and the corresponding proposed changes summary tables, are posted in the [Rule-related consultations](#) section of the AUC website.

Any questions related to this bulletin should be directed to Andrea Laroiya at 403-592-4411 or Raymond Lee at 403-592-4442.

The Commission thanks market participants and other stakeholders for their time in providing input and continued participation in the consultation process.

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Chief Executive