

## Bulletin 2019-14

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### **Tracking compliance with certain directions from rates decisions**

In 2018 the Alberta Utilities Commission upgraded its eFiling System to facilitate the tracking of compliance with directions arising from AUC decisions. To date this functionality has been used to track compliance with directions from facilities and markets decisions (e.g., progress reports, environmental monitoring, post-construction documentation, etc.). Effective August 1, 2019, the AUC will extend the use of this tracking functionality to encompass certain directions resulting from rates decisions.

The AUC is undertaking this change to ensure visibility and transparency with respect to compliance with directions from its rates-related decisions. The AUC has a long-standing history of including a separate appendix in each rates-related decision that summarizes the directions made throughout the body of the decision. This will continue. Most utilities have adopted the practice of providing tables in subsequent applications that summarize how they have complied with directions from previous decisions. The AUC appreciates those efforts and considers this approach largely addresses the need for monitoring the compliance with most directions from rates decisions. The AUC wants this practice to continue. The concern with respect to losing track of compliance with directions arises primarily from directions that may require a longer time period for compliance, or the follow-up occurs in a largely unrelated proceeding.

The AUC wants to avoid significant duplication of work. As a result, only certain directions from rates decisions will be subject to tracking in the eFiling System. The AUC has established the following criteria to define whether a particular direction will be tracked in the eFiling System:

1. Directions that require action in a future application other than a compliance filing (e.g., “provide table X in next general tariff application”), or require an application update to a separate, existing proceeding other than the proceeding in which the direction is issued (e.g., “update the forecast in Proceeding XXXXX to reflect the final numbers approved by the Commission in this decision”), will be tracked in the eFiling System.
2. If the utility is expected to give effect to the direction in a compliance filing to the original proceeding, these directions will not be tracked in the eFiling System. Utilities should continue the practice of providing tables in compliance filings that summarize all of the directions they are responding to.
3. If a direction will require compliance actions to occur on more than one occasion (e.g., “provide table Y in all future general tariff applications”), only the first instance of compliance will be tracked in the eFiling System.

4. Straightforward directions that simply require the utility to implement the rates or terms and conditions approved in the decision will not be tracked in the eFiling System.
5. Directions that will be given effect by way of the party filing a post-disposition document on the record of the original proceeding will not be tracked in the eFiling System.

The AUC is implementing this revised process on a go-forward basis, meaning only decisions released after August 1, 2019, will have directions tracked in eFiling.

AUC staff will be responsible for identifying the directions that are logged in the eFiling System and initiating the tracking process. The eFiling System will then create tasks within the system for the parties responsible for complying with the directions. This process is the same as how the directions are tracked for the facilities and markets decisions.

There is a section in the [eFiling System User Guide](#) that explains how the directions tracking functionality works. If you require assistance with respect to using the eFiling system please contact [info@auc.ab.ca](mailto:info@auc.ab.ca) or 310-4282 (in Alberta) or 1-833-511-4282 (outside Alberta).

If you have questions regarding a specific direction, in particular, why the direction was selected to be tracked in the eFiling System, please contact the lead application officer for the proceeding in which the direction was issued.

If you have questions or concerns about this change in process, please contact Blair Miller, Executive Director – Rates, at [blair.miller@auc.ab.ca](mailto:blair.miller@auc.ab.ca) or 780-427-9369.

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