

# Electric Transmission Facilities Process Guidelines

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April 21, 2011

## **Checklist for Transmission Facility versus Letter of Enquiry Applications**

The attached checklist (Appendix 1) and flowchart (Appendix 2) are provided as aides for Transmission Facility Owners (TFOs) when determining how to address the requirements of AUC Rule 007: *Rules Respecting Applications for Power Plants, Substations, Transmission Lines, and Industrial System Designations*, the *Hydro and Electric Energy Act* and the *Hydro and Electric Energy Regulation*. The checklist is intended to provide clarity and consistency regarding the Alberta Utilities Commission's (AUC or the Commission) application and process requirements for minor facility applications. TFOs are reminded that this checklist is not part of AUC Rule 007, but is intended only as a guide.

The answers to questions in the checklist will guide the TFO to the type of application that will meet the requirements of AUC Rule 007. Depending on the nature of the application the applicant may:

- (a) file a facility application pursuant to AUC Rule 007 s. 6 (Sections 14 and 15 of the *Hydro and Electric Energy Act*)
- (b) file a letter of enquiry (LOE) pursuant to AUC Rule 007 s. 1.4 (Sections 11 and 12 of the *Hydro and Electric Energy Regulation*)
  - requesting approval to proceed; which may or may not require minor changes to an existing permit and licence, or
  - advising that the project is minor in nature, no person is directly affected, and there is no adverse environmental impact; filed for information
- (c) proceed without filing a facility application or LOE

## Appendix 1

### Checklist for Transmission Facility versus Letter of Enquiry Applications

In order to provide clarity, the AUC has identified a number of criteria and questions that should be considered by applicants when determining whether or not an application or LOE is required, and, if so, the type to use. It is not possible to anticipate every possible scenario/factor that could arise, but the AUC has identified the most common ones and assembled them in the following checklist to provide guidance to Transmission Facility Owners. The checklist does not replace or alter the requirements in the applicable acts, regulations or rules.

#	Question /Issue to consider	YES/NO?	Process implication
1.	Was the project direct assigned by the Alberta Electric System Operator (AESO) pursuant to an approved needs identification document (NID)?	?	If yes, file a facility application pursuant to s. 7 of AUC Rule 007 and s. 14 of the HEE Act. If no, proceed to question 2.
2.	Was the project direct assigned by the AESO for a NID that is or will be filed with the AUC?	?	If yes, file a facility application pursuant to s. 7 of AUC Rule 007 and s. 14 of the HEE Act. If no, proceed to question 3.
3.	Was/is the project considered to be capital maintenance?  Has your most recent accounting policy that provides the criteria for the treatment of items as capital or operation and maintenance been filed with the AUC?	?	If yes, proceed to questions 4-9.  If the project is neither capital nor capital maintenance, then it is an operation and maintenance project.  If there is an impact on a person or an adverse environmental impact file a letter of enquiry (LOE). The LOE must include information regarding the impact.  Otherwise, proceed without filing a LOE.

4.	For capital maintenance projects – answer questions 4a to 4c to determine whether the project requires a facility application or a LOE.		
4a.	Is the project a ‘significant extension or alteration’?	?	If yes, file a facility application pursuant to s. 7 of AUC Rule 007 and s. 14 of the HEE Act.  If no, proceed to next question.
4b.	Does the project involve the installation/construction of a new/incremental transmission line (i.e. a line not already approved by an existing permit and licence)?	?	If yes, file a facility application pursuant to s. 7 of AUC Rule 007 and s. 14 of the HEE Act.  If no, proceed to next question.
4c.	Does the project involve the installation/construction of new/additional equipment in the substation such as a transformer, circuit breaker, capacitor bank, static VAR compensator, or reactor (i.e. not already approved by an existing permit and licence)?  Note – this is the equipment typically included in the details of a permit and licence.	?	If yes, file a facility application pursuant to s. 7 of AUC Rule 007 and s. 14 of the HEE Act.  If no, proceed to questions 5-10.
5.	<b>Is the project a ‘like-for-like’ replacement, or a minor alteration? Use the following questions to clarify.</b>		
5a.	Is there a change to the transmission or related distribution right of way, or a change to pole locations?	?	If yes, please specify.
5b.	If transmission structures are being replaced: <ul style="list-style-type: none"> <li>- is there a change in the type of structure being used?</li> <li>- is there a change in the material being used for the pole or structure?</li> <li>- is there a change in the height or dimensions of the new structure?</li> <li>- is there a change in the transmission structure or material from what was approved in the original/current permit and licence?</li> </ul>	?	If yes, please specify.

5c.	If the substation equipment being replaced or modified is a transformer, circuit breaker, capacitor bank, static VAR compensator, or reactor, is there a change in the rating or noise profile from that of the original equipment? - is there a change in equipment from what was approved in the original/current permit and licence	?	If yes, please specify.
5d.	Is there a change or alteration in the substation fence line or boundary?	?	If yes, please specify.
5e.	Will the substation change or alteration have a visual impact?	?	If yes, please specify.
	<b>Consideration of feedback from potentially affected persons, pursuant to the notification or consultation undertaken by the TFO</b>		
6.	Clarify the nature and details of the notification or consultation undertaken with respect to the project. - Were there objections to any aspect of the project?	?	If yes, are there any unresolved objections?
	<b>Consideration of the potential for an adverse environmental impact</b>		
7.	Does the project involve the handling or disposal of a hazardous material or a contaminant? i.e. transformer replacements	?	If yes, please specify.
8.	Would the project require an amendment to the conditions of the current permit and licence, or would it impact any known environmentally sensitive area?	?	If yes, please specify.
9.	Does the project require the approval of another government department or agency (i.e. AENV, SRD...)?	?	If yes, please specify.
10.	Does the project raise issues not addressed by the preceding questions?	?	If yes, please contact AUC staff or file an application or LOE seeking clarification.

11.	<b>What is required?</b>		<p>If the answers to questions 5a-5e are no, and 6-9 are also no, proceed to 11a.</p> <p>If any answers to questions 5a-5e or 6-9 are yes, proceed to 11b.</p>
11a.	<p>File a LOE for information purposes, consisting of a completed checklist and a brief description of the project.</p>		<p>The AUC will/may approve the information filing. The information filing would be referred to in event there is a complaint related to the project. Further, the information filing will/may be subject to a subsequent compliance audit by the AUC.</p>
11b.	<p>File a LOE consisting of a completed checklist and enough information to address the requirements of s. 12 of the HEE Regulation.</p> <p>Clearly indicate the relief requested, and whether or not an amendment is required to an existing permit and licence.</p>	?	<p>The AUC will/may proceed without further process, subject to the adequacy of the information provided in the LOE, and the Commission finding that the project is minor in nature, and does not adversely impact a person or the environment.</p> <p>The LOE would be referred to in event there is a complaint related to the project. Further, the LOE will/may be subject to a subsequent compliance audit by the AUC.</p>

# Appendix 2

