

AUC Rule 004 (version 2.1) changes

Stakeholder: 1772387 Alberta Limited Partnership (Encor), AltaGas Utilities Inc. (AltaGas), ATCO Gas, Cognera Corp. (Cognera), Direct Energy Regulated Services (DERS), ENMAX Customer Care, ENMAX Power Corporation (EPC), EPCOR Energy Alberta GP Inc. (EEA)

Section	Subsection	Existing AUC Rule 004 content	Changes to AUC Rule 004	Stakeholder comments dated August 23, 2016	AUC response
1	General provisions 1.2 Definitions	<p>1.2 Definitions</p> <p>In this rule,</p> <p>(a) “bill ready” means that a retailer is provided with all the necessary distribution and transmission tariff data elements and charges required to assemble the customer’s bill, with no additional calculations required other than tax calculations and optional charge aggregation</p> <p>(bb) “power factor” means the power actually used by a customer, the real power (expressed in kW), as a ratio of the power that is apparently being delivered, the apparent power (expressed kVA); the difference is attributable to the characteristics of a customer’s load, which uses more apparent power to operate</p> <p>(cc) “record” means a sequence of information in the format specified in Section 4 of this rule</p> <p>[...]</p> <p>(hhh) “WSD” means the wholesale settlement details for retailer own sites transaction as defined in AUC Rule 021: Settlement System Code Rules and the wholesale settlement details transaction as defined in AUC Rule 028: Natural Gas Settlement System Code Rules</p>	<p>1.2 Definitions</p> <p>In this rule,</p> <p>(a) “bill ready” means that a retailer is provided with all the necessary distribution and transmission tariff data elements and charges required to assemble the customer’s bill, with no additional calculations required other than tax calculations and optional charge aggregation</p> <p>(bb) “power factor” means the power actually used by a customer, the real power (expressed in kW), as a ratio of the power that is apparently being delivered, the apparent power (expressed kVA); the difference is attributable to the characteristics of a customer’s load, which uses more apparent power to operate</p> <p>(cc) “provincial carbon levy” as of January 1, 2017, is applied to all fuels that emit greenhouse gases when combusted, including natural gas, subject to certain exemptions pursuant to the <i>Climate Leadership Act</i>. More information can be found on the Government of Alberta website (www.alberta.ca)</p> <p>(eedd) “record” means a sequence of information in the format specified in Section 4 of this rule</p> <p>[adjust numbering for remaining definitions]</p> <p>[...]</p> <p>(hhh) (iii) “WSD” means the wholesale settlement details for retailer own sites transaction as defined in AUC Rule 021: Settlement System Code Rules and the wholesale settlement details</p>	<p>AltaGas: No concerns with the proposed changes.</p> <p>ATCO Gas: ATCO Gas supports this change.</p> <p>Cognera: Fine.</p> <p>EEA: EEA has no concerns.</p> <p>Encor: Encor has no concerns.</p> <p>ENMAX Customer Care: In favour.</p> <p>EPC: ENMAX Power supports this change.</p>	

Note: Stakeholder feedback received after August 23, 2016, is reflected in the table.

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			transaction as defined in AUC Rule 028: Natural Gas Settlement System Code Rules		
	1.3 Common abbreviations	<p>1.3 Common abbreviations</p> <p>AESO Alberta Electric System Operator AUC Alberta Utilities Commission BFLAG Boolean flag CSA customer switch advice transaction CSR customer switch receipt transaction CSV comma-separated values format CT current transformer CTF component type code file DCM daily cumulative meter consumption to retailers and LSA transaction DIM daily interval meter readings to retailers and LSA transaction FTP file transfer protocol GJ gigajoule GST goods and services tax ID identifier ISO independent system operator kVA kilo-volt-ampere kW kilowatt kWh kilowatt hour LSA load settlement agent MDF miscellaneous determinant code file MDM meter data manager MID municipality ID file OCF one-time charge code file PDF portable document format PPAC prior period adjustment code PT potential transformer RCF REA code file REA rural electrification association RSP regulated service provider RRT regulated rate tariff SCC site cycle change transaction SCF site cycle catalogue file SRN select retailer notification transaction</p>	<p>1.3 Common abbreviations</p> <p>AESO Alberta Electric System Operator AUC Alberta Utilities Commission BFLAG Boolean flag CLE provincial carbon levy exempt transaction CLN provincial carbon levy exempt notification transaction CSA customer switch advice transaction CSR customer switch receipt transaction CSV comma-separated values format CT current transformer CTF component type code file DCM daily cumulative meter consumption to retailers and LSA transaction DIM daily interval meter readings to retailers and LSA transaction FTP file transfer protocol GJ gigajoule GST goods and services tax ID identifier ISO independent system operator kVA kilo-volt-ampere kW kilowatt kWh kilowatt hour LSA load settlement agent MDF miscellaneous determinant code file MDM meter data manager MID municipality ID file OCF one-time charge code file PDF portable document format PPAC prior period adjustment code PT potential transformer RCF REA code file REA rural electrification association RSP regulated service provider RRT regulated rate tariff SCC site cycle change transaction</p>	<p>AltaGas: No concerns with the proposed changes.</p> <p>ATCO Gas: ATCO Gas supports this change.</p> <p>Cognera: Fine.</p> <p>DERS: DE would like to see consistency in the name used for CLE and CLN throughout the rule. In some places within the rule it is also referred to as “exemption” and our preference would be for it to be only referred to as “exempt” to be consistent.</p> <p>EEA: EEA has no concerns.</p> <p>Encor: Encor has no concerns.</p> <p>ENMAX Customer Care: In favour.</p> <p>EPC: ENMAX Power supports this change.</p>	<p>Agreed. For consistency, the word “exemption” is changed to “exempt”.</p>

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		<p> SRO notify old retailer transaction TBA tariff bill accept transaction TBD tariff bill dispute transaction TBF tariff bill file TBI tariff bill invoice TBR tariff bill reject transaction TCF tariff calendar file TRC tariff rate code file TRF tariff cross-reference code file TRN tariff bill rejection notification transaction TSW tariff billing sites withheld transaction UCI update customer information transaction UOM unit of measure WSD wholesale settlement detail for retailers own sites transaction </p>	<p> SCF site cycle catalogue file SRN select retailer notification transaction SRO notify old retailer transaction SRR select retailer request transaction TBA tariff bill accept transaction TBD tariff bill dispute transaction TBF tariff bill file TBI tariff bill invoice TBR tariff bill reject transaction TCF tariff calendar file TRC tariff rate code file TRF tariff cross-reference code file TRN tariff bill rejection notification transaction TSW tariff billing sites withheld transaction UCI update customer information transaction UOM unit of measure WSD wholesale settlement detail for retailers own sites transaction </p>																						
2 Summary of Rule 004 obligations	2.13 Monitor performance	<p>Table 2-1. Performance requirements</p> <table border="1" data-bbox="446 906 1225 1507"> <thead> <tr> <th>Table Ref ID</th> <th>Requirement</th> <th>Measure</th> <th>Responsibility</th> <th>Target</th> </tr> </thead> <tbody> <tr> <td>1a</td> <td>Tariff bill file publication timing</td> <td>For all sites other than transmission-connected sites: number of days between the scheduled read date and the scheduled tariff bill file published date for a billing cycle, as stated in the tariff bill</td> <td>Distributor</td> <td>Maximum: six business days</td> </tr> </tbody> </table>	Table Ref ID	Requirement	Measure	Responsibility	Target	1a	Tariff bill file publication timing	For all sites other than transmission-connected sites: number of days between the scheduled read date and the scheduled tariff bill file published date for a billing cycle, as stated in the tariff bill	Distributor	Maximum: six business days	<p>Table 2-1. Performance requirements</p> <table border="1" data-bbox="1298 906 2077 1507"> <thead> <tr> <th>Table Ref ID</th> <th>Requirement</th> <th>Measure</th> <th>Responsibility</th> <th>Target</th> </tr> </thead> <tbody> <tr> <td>1a</td> <td>Tariff bill file publication timing</td> <td>For all sites other than transmission-connected sites: number of days between the scheduled read date and the scheduled tariff bill file published date for a billing cycle, as stated in the tariff bill</td> <td>Distributor</td> <td>Maximum: six business days</td> </tr> </tbody> </table>	Table Ref ID	Requirement	Measure	Responsibility	Target	1a	Tariff bill file publication timing	For all sites other than transmission-connected sites: number of days between the scheduled read date and the scheduled tariff bill file published date for a billing cycle, as stated in the tariff bill	Distributor	Maximum: six business days	<p> AltaGas: No concerns with the proposed changes. ATCO Gas: ATCO Gas supports this change. Cognera: Fine. EEA: EEA has no concerns. Encor: Encor has no concerns. ENMAX Customer Care: In favour. EPC: ENMAX Power supports this change. </p>	
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				calendar file.					calendar file.				
		[...]	[...]	[...]	[...]	[...]	[...]	[...]	[...]	[...]	[...]		
		18	Currency of tariff bill file content	Percentage of all sites with a site production reason code of "2020" (regular billing cycle) published in original tariff bill files, where the number of business days from the current bill period end date for each site to the tariff bill file date created is less than or equal to eight business days. Formula: <i>Percentage of sites billed and coded regular billing cycle that are billed within the required eight</i>	Distributor	95 per cent of sites	18	Currency of tariff bill file content	Percentage of all sites with a site production reason code of "2020" (regular billing cycle) published in original tariff bill files, where the number of business days from the current bill period end date for each site to the tariff bill file date created is less than or equal to eight business days. Formula: <i>Percentage of sites billed and coded regular billing cycle that are billed within the required eight</i>	Distributor	95 per cent of sites		

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				<p><i>business days = [(number of sites within original tariff bill files with a site production reason code of "2020" where the tariff bill file date created minus the current bill period end date for each site is less than or equal to eight business days) ÷ (the total number of sites with a site production reason code of "2020" in original tariff bill files - ineligible sites)] x 100</i></p> <p><i>Where:</i></p> <p><i>Ineligible site = site that was initially energized after its scheduled read date for the month</i></p>					<p><i>business days = [(number of sites within original tariff bill files with a site production reason code of "2020" where the tariff bill file date created minus the current bill period end date for each site is less than or equal to eight business days) ÷ (the total number of sites with a site production reason code of "2020" in original tariff bill files - ineligible sites)] x 100</i></p> <p><i>Where:</i></p> <p><i>Ineligible site = site that was initially energized after its scheduled read date for the month</i></p>					
		19	File completeness	Percentage of all sites assigned to billing cycles transmitted in	Distributor	98 per cent of sites	19	File completeness	Percentage of all sites assigned to billing cycles transmitted in	Distributor	98 per cent of sites			

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			15	Provide provincial carbon levy exempt status	Retailer to distributor	Provincial carbon levy exempt (CLE) transaction	✓	<p>Encor: Encor has no concerns.</p> <p>ENMAX Customer Care: In favour.</p> <p>EPC: ENMAX Power supports this change.</p>																													
			16	Provide provincial carbon levy exempt notification	Distributor to retailer	Provincial carbon levy exempt notification (CLN) transaction	✓																														
	4.3 Tariff bill file content rules	<p>Table 4-8. Tariff Charge record content</p> <table border="1" data-bbox="446 789 1257 1521"> <thead> <tr> <th>Element Sequence</th> <th>Field (in sequence)</th> <th>Data Type/Size</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Record ID</td> <td>Number(15)</td> <td>Mandatory field – A unique reference ID for each Tariff Charge record produced by a distributor to allow the distributor or retailer to refer to the specific data record. This value must be unique to a distributor.</td> </tr> <tr> <td>[...]</td> <td>[...]</td> <td>[...]</td> <td>[...]</td> </tr> <tr> <td>17</td> <td>Component Unit Price</td> <td>Number(19,12)</td> <td>Mandatory field – Numeric value representing the price for an individual unit of measure. This value must be consistent with a distributor’s filed tariff and</td> </tr> </tbody> </table>	Element Sequence	Field (in sequence)	Data Type/Size	Description	1	Record ID	Number(15)	Mandatory field – A unique reference ID for each Tariff Charge record produced by a distributor to allow the distributor or retailer to refer to the specific data record. This value must be unique to a distributor.	[...]	[...]	[...]	[...]	17	Component Unit Price	Number(19,12)	Mandatory field – Numeric value representing the price for an individual unit of measure. This value must be consistent with a distributor’s filed tariff and	<p>Table 4-8. Tariff Charge record content</p> <table border="1" data-bbox="1298 789 2110 1521"> <thead> <tr> <th>Element Sequence</th> <th>Field (in sequence)</th> <th>Data Type/Size</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Record ID</td> <td>Number(15)</td> <td>Mandatory field – A unique reference ID for each Tariff Charge record produced by a distributor to allow the distributor or retailer to refer to the specific data record. This value must be unique to a distributor.</td> </tr> <tr> <td>[...]</td> <td>[...]</td> <td>[...]</td> <td>[...]</td> </tr> <tr> <td>17</td> <td>Component Unit Price</td> <td>Number(19,12)</td> <td>Mandatory field – Numeric value representing the price for an individual unit of measure. This value must be consistent with a distributor’s filed tariff or the</td> </tr> </tbody> </table>	Element Sequence	Field (in sequence)	Data Type/Size	Description	1	Record ID	Number(15)	Mandatory field – A unique reference ID for each Tariff Charge record produced by a distributor to allow the distributor or retailer to refer to the specific data record. This value must be unique to a distributor.	[...]	[...]	[...]	[...]	17	Component Unit Price	Number(19,12)	Mandatory field – Numeric value representing the price for an individual unit of measure. This value must be consistent with a distributor’s filed tariff or the		<p>The provincial carbon levy will be in effect on January 1, 2017. To facilitate this, a new component category code 5008 (provincial carbon levy) is added to Table A5-16. As such, a new component unit price will be applied in Table 4-8, Sequence 17, and will be used to calculate the provincial carbon levy charge. Accordingly,</p>
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					must be expressed in the equivalent dollar value.				provincial carbon levy on natural gas and must be expressed in the equivalent dollar value.		<p>the description in Element Sequence 17 is updated to include the highlighted addition.</p> <p>This addition was agreed to at the Provincial Carbon Levy Implementation Industry Consultation Group meeting on September 7, 2016.</p>
	NEW 4.13 Provincial carbon levy exempt transaction	[...]	[...]	[...]	[...]	[...]	[...]	[...]	[...]		<p>In Element Sequence 7 of the CLE transaction, for the value “N”, for clarification reasons “Customer is not provincial carbon levy exempt” is added.</p> <p>For further clarity, minor edits were made to Section 4.13 following the Provincial Carbon Levy Implementation</p>

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			<ul style="list-style-type: none"> where the retailer of record is made aware by an existing customer that a change in exempt status is required; and where the retailer of record has made an error in a customer's exempt status and needs future billing to be corrected. <p>If a CLE is not provided by a retailer, the distributor, after sending a successful SRN, must default that site to non-exempt.</p> <p>Table 4-20. Provincial carbon levy exempt (CLE) transaction content</p> <table border="1" data-bbox="1295 688 2053 1521"> <thead> <tr> <th>Element Sequence</th> <th>Field</th> <th>Data type/size</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Transaction Abbreviation</td> <td>"CLE"</td> <td>Mandatory field – Abbreviation for the transaction name.</td> </tr> <tr> <td>2</td> <td>Transaction ID</td> <td>Number (15)</td> <td>Mandatory field – Unique identifier for the CLE transaction. This value must be unique to a retailer.</td> </tr> <tr> <td>3</td> <td>Transaction Date Time</td> <td>Date time format</td> <td>Mandatory field – Later of the time the transaction was created or last modified.</td> </tr> <tr> <td>4</td> <td>Retailer ID</td> <td>Retailer ID format</td> <td>Mandatory field – Sender (retailer associated with the site).</td> </tr> <tr> <td>5</td> <td>Distributor ID</td> <td>Distributor ID format</td> <td>Mandatory field – Recipient (distributor for the site). See Appendix A Section A5.3.</td> </tr> <tr> <td>6</td> <td>Site ID</td> <td>Site ID format</td> <td>Mandatory field – Site for which Exempt Indicator field is requested. Unique</td> </tr> </tbody> </table>	Element Sequence	Field	Data type/size	Description	1	Transaction Abbreviation	"CLE"	Mandatory field – Abbreviation for the transaction name.	2	Transaction ID	Number (15)	Mandatory field – Unique identifier for the CLE transaction. This value must be unique to a retailer.	3	Transaction Date Time	Date time format	Mandatory field – Later of the time the transaction was created or last modified.	4	Retailer ID	Retailer ID format	Mandatory field – Sender (retailer associated with the site).	5	Distributor ID	Distributor ID format	Mandatory field – Recipient (distributor for the site). See Appendix A Section A5.3.	6	Site ID	Site ID format	Mandatory field – Site for which Exempt Indicator field is requested. Unique	<p>AltaGas: No concerns with the proposed changes.</p> <p>ATCO Gas: ATCO Gas supports this change.</p> <p>DE:</p> <p>DE would like to see the order of the CLE Transaction fields changed to:</p> <ol style="list-style-type: none"> Transaction Abbreviation Transaction ID Transaction Date Time Retailer ID Distributor ID Site ID Exemption Indicator Exemption Reason <p>Reason being, we think indicators are always after site ID and distributor ID and we would like to recommend consistency where possible.</p>	<p>Industry Consultation Group meetings.</p> <p>After consulting with the Carbon Levy Implementation Industry Consultation Group on September 8, 2016, via email, the group agreed to change the order of the CLE transaction as suggested. These changes can be found in the Changes to AUC Rule 004 column.</p>
Element Sequence	Field	Data type/size	Description																														
1	Transaction Abbreviation	"CLE"	Mandatory field – Abbreviation for the transaction name.																														
2	Transaction ID	Number (15)	Mandatory field – Unique identifier for the CLE transaction. This value must be unique to a retailer.																														
3	Transaction Date Time	Date time format	Mandatory field – Later of the time the transaction was created or last modified.																														
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5	Distributor ID	Distributor ID format	Mandatory field – Recipient (distributor for the site). See Appendix A Section A5.3.																														
6	Site ID	Site ID format	Mandatory field – Site for which Exempt Indicator field is requested. Unique																														

Section	Subsection	Existing AUC Rule 004 content	Changes to AUC Rule 004				Stakeholder comments dated August 23, 2016	AUC response				
						<p>identifier representing a site. See Appendix A Section A.4.6.6.</p> <p>7</p> <p>Exempt Indicator</p> <p>Char(1)</p> <p>Mandatory field – Values are:</p> <p>“Y” – Customer is provincial carbon levy exempt</p> <p>“N” – Customer is not provincial carbon levy exempt (remove provincial carbon levy exempt flag).</p> <p>8</p> <p>Exempt Reason Code</p> <p>Char(3)</p> <p>Conditional field – If Exempt Indicator is “N”, the field is [null]. Otherwise the field is mandatory with one of the following reason codes:</p> <p>“001” – First Nations</p> <p>“002” – Government Entities</p> <p>“003” – Specified Gas Emitters</p> <p>“004” – Production Processes</p> <p>“005” – Raw materials / Diluent / Solvent</p>	<p>Our comments on the field names are as follows:</p> <p><i>CLE Transaction</i></p> <ul style="list-style-type: none"> For the “Exemption Indicator” and “Exemption Reason”, perhaps changing the name to “Exempt” would be better to be consistent with the transaction name. Exemption Reason (name) – DE thinks it would be more consistent with other parts of Rule 004 to name this field “Exempt Reason Code”. 	<p>Agreed. For consistency, the word “exemption” is changed to “exempt” when referencing the CLE and CLN transactions.</p> <p>Agreed. The Field for Element Sequence 8 of the CLE is changed to Exempt Reason Code. This was also discussed and agreed to at the Carbon Levy Implementation Industry Consultation Group meeting on September 7, 2016.</p>				
			<p>Table 4-21. Provincial carbon levy exempt notification (CLN) transaction content</p> <table border="1" data-bbox="1295 1365 2053 1438"> <thead> <tr> <th data-bbox="1295 1365 1454 1438">Element Sequence</th> <th data-bbox="1454 1365 1620 1438">Field</th> <th data-bbox="1620 1365 1766 1438">Data type/size</th> <th data-bbox="1766 1365 2053 1438">Description</th> </tr> </thead> </table>				Element Sequence	Field	Data type/size	Description		
Element Sequence	Field	Data type/size	Description									

Section	Subsection	Existing AUC Rule 004 content	Changes to AUC Rule 004				Stakeholder comments dated August 23, 2016	AUC response
			1	Transaction Abbreviation	"CLN"	Mandatory field – Abbreviation for the transaction name.	<ul style="list-style-type: none"> Exemption Reason (format) – currently defined as CHAR(3). All other numeric codes appear to be 4 digits. Is it possible to make this 4 digits to be consistent. <p><i>CLN transaction</i></p> <ul style="list-style-type: none"> Effective Date - format currently listed as "Date time format" but description reads "next calendar day after CLE is received" suggests that it is really just a date without 	<p>As the Exempt Reason codes in Element Sequence 8 of the CLE transaction are all only three characters in length, the Data/Type Size Char(3) was not changed. Keeping the Data/Type Size Char(3) was also discussed and agreed to at the Carbon Levy Implementation Industry Consultation Group meeting on September 7, 2016.</p> <p>Agreed. Data type/size for Element Sequence 7 (Effective date) of the CLN transaction is changed to Date format.</p> <p>This was also discussed and agreed to at the</p>
			2	Transaction ID Reference	Number (15)	Mandatory field – Transaction ID of the original CLE transaction.		
			3	Transaction Date Time	Date time format	Mandatory field – Later of the time the transaction was created or last modified.		
			4	Distributor ID	Distributor ID format	Mandatory field – Sender (distributor for the site). See Appendix A Section A5.3.		
			5	Retailer ID	Retailer ID format	Mandatory field – Recipient (retailer associated with the site).		
			6	Site ID	Site ID format	Mandatory field – Site for which Exempt Indicator field is requested. Unique identifier representing a site. See Appendix A Section A.4.6.6.		
			7	Effective Date	Date format	Conditional field – Next calendar day after CLE is received. If Carbon Levy Exempt Transaction Status Code field = "0000", this field is mandatory; otherwise this field is [null].		
			8	Carbon Levy Exempt Transaction Status Code	Char(4)	Mandatory field - The applicable codes in Appendix A, Table A5-26 must be used.		

Section	Subsection	Existing AUC Rule 004 content	Changes to AUC Rule 004	Stakeholder comments dated August 23, 2016	AUC response
			<p>Production rules</p> <p>(1) A CLE cannot be back-dated.</p> <p>(2) When the retailer of record is made aware that a change in exempt status for a customer is required, the retailer will send a CLE to the distributor.</p> <p>(3) The distributor will send an acceptance or rejection of a CLE.</p> <p>(4) A CLN of acceptance will be effective the next calendar day after a CLE is received.</p> <p>(5) Tariff bill charges as of the effective date will reflect a change in exempt status.</p> <p>(6) The effective date of a CLN may trigger an off-cycle tariff billing event.</p> <p>(7) If the retailer of record determines that an error in exempt status has been made, the retailer of record will issue a CLE to correct the error. In the next TBF issued to the retailer of record, the tariff charge records will show the change has been applied from the effective date contained in a CLN.</p> <p>(8) If the retailer of record sends multiple CLEs for the same site on the same day, the distributor will process in order of receipt, and a corresponding CLN will be sent for each. The last successfully processed CLE will set the exempt status for the next calendar day.</p>	<p>any time component. Should the format instead simply be “Date format” or is “Date time format” being used because a non-zero time component might be used? If a time component might be used, then the description should also reflect this and explain why.</p> <ul style="list-style-type: none"> Response Code: to be consistent with other transactions like CSA, may we suggest CLE transaction status code. 	<p>Carbon Levy Implementation Industry Consultation Group meeting on September 7, 2016.</p> <p>Agreed. For consistency with other transactions, Element Sequence 8 in the CLN transaction is changed to reflect that it is a Transaction Status Code.</p> <p>This was also discussed and agreed to at the Carbon Levy Implementation Industry Consultation Group meeting</p>

Section	Subsection	Existing AUC Rule 004 content	Changes to AUC Rule 004	Stakeholder comments dated August 23, 2016	AUC response
				<p>EEA: EEA has no concerns.</p> <p>Encor: Encor has no concerns.</p> <p>EPC: ENMAX Power supports this change.</p>	on September 7, 2016.
Appendix A. Information Exchange Standards	A4.2 File-naming convention	<p>A4.2.1 Files transmitted electronically</p> <p>All transactions of the same type for a period (usually one day) are to be placed in a single CSV (comma-separated values) formatted file. The file name must be unique across all files produced by the market participant. The standard file naming convention is:</p> <p>TXN_Sender_Recipient_YYYYMMDDHHMISS.CSV</p> <p>where,</p> <p>TXN: three-letter abbreviation for the transaction name (e.g. Tariff Bill Accept = TBA) or file name (e.g. Tariff Bill File = TBF). This must be in uppercase.</p> <p>Sender: ID of the sender (i.e. Distributor ID of the distributor responsible for the site(s) or Retailer ID).</p> <p>Recipient: ID of the recipient (i.e. Distributor ID of the distributor receiving the file or transaction or Retailer ID).</p> <p>YYYYMMDD: Date the file was created (e.g. 20041202).</p> <p>HHMISS: Time the file was created on a 24-hour clock (e.g. 192432).</p> <p>.CSV or .csv</p>	<p>A4.2.1 Files transmitted electronically</p> <p>(1) All transactions of the same type for a period (usually one day) are to be placed in a single CSV (comma-separated values) formatted file. The file name must be unique across all files produced by the market participant. The standard file naming convention is:</p> <p>TXN_Sender_Recipient_YYYYMMDDHHMISS.CSV</p> <p>TRX_From_To_YYYYMMDDHHMISS.CSV or TRX_From_To_YYYYMMDDHHMISS.csv</p> <p>where,</p> <p>TXNTRX: three-letter abbreviation for the transaction name (e.g. Tariff Bill Accept = TBA) or file name (e.g. Tariff Bill File = TBF). This must be in uppercase.</p> <p>Sender: ID of the sender (i.e. Distributor ID of the distributor responsible for the site(s) or Retailer ID).</p> <p>Recipient: ID of the recipient (i.e. Distributor ID of the distributor receiving the file or transaction or Retailer ID).</p> <p>YYYYMMDD: Date the file was created (e.g. 20041202).</p> <p>HHMISS: Time the file was created on a 24-hour clock (e.g. 192432).</p>		<p>A4.2.1(2) is added to the rule because in some cases, distributors will reject the CLE, and send the rejected CLE with an “R” appended at the end.</p> <p>This was also discussed and agreed to at the Carbon Levy Implementation Industry Consultation Group meeting on September 7, 2016.</p>

Section	Subsection	Existing AUC Rule 004 content	Changes to AUC Rule 004	Stakeholder comments dated August 23, 2016	AUC response												
			<p>.CSV or .csv</p> <p>(2) For transactions with the Transaction Status Code field populated, a rejected file may be returned to the original sender to notify the sender of any errors in individual transactions. The rejected file would be returned using the file name under which it was received, with an "R" appended at the end of the file name before the .CSV or .csv.</p>														
		<p>A4.2.2 Files available for download</p> <p>The standard file naming convention is:</p> <p>TXN_Sender_YYYYMMDDHHMISS.CSV</p> <p>where,</p> <p>TXN: three-letter abbreviation for the transaction name (e.g. Tariff Bill Accept = TBA) or file name (e.g. Tariff Bill File = TBF). This must be in uppercase.</p> <p>Sender: ID of the sender (e.g. Distributor ID of the distributor responsible for the site(s) or Retailer ID).</p> <p>YYYYMMDD: Date the file was created (e.g. 20041202).</p> <p>HHMISS: Time the file was created on a 24-hour clock (e.g. 192432).</p> <p>.CSV or .csv</p>	<p>A4.2.2 Files available for download</p> <p>The standard file naming convention is:</p> <p>TXNTXRX_Sender_YYYYMMDDHHMISS.CSV</p> <p>where,</p> <p>TXNTXRX: three-letter abbreviation for the transaction name (e.g. Tariff Bill Accept = TBA) or file name (e.g. Tariff Bill File = TBF). This must be in uppercase.</p> <p>Sender: ID of the sender (e.g. Distributor ID of the distributor responsible for the site(s) or Retailer ID).</p> <p>YYYYMMDD: Date the file was created (e.g. 20041202).</p> <p>HHMISS: Time the file was created on a 24-hour clock (e.g. 192432).</p> <p>.CSV or .csv</p>														
	A5.19 Component category code	<p>A5.19 Component category code</p> <p>A four-digit code representing component category.</p> <p>Table A5-16. Component category codes</p> <table border="1" data-bbox="446 1417 1171 1498"> <thead> <tr> <th>Table Ref ID</th> <th>Component Category Code</th> <th>Component Category Code Name</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Table Ref ID	Component Category Code	Component Category Code Name				<p>A5.19 Component category code</p> <p>A four-digit code representing component category.</p> <p>Table A5-16. Component category codes</p> <table border="1" data-bbox="1298 1417 2024 1498"> <thead> <tr> <th>Table Ref ID</th> <th>Component Category Code</th> <th>Component Category Code Name</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Table Ref ID	Component Category Code	Component Category Code Name				<p>AltaGas: No concerns with the proposed changes.</p> <p>ATCO Gas: ATCO Gas supports this change.</p> <p>Cognera: Fine.</p>	
Table Ref ID	Component Category Code	Component Category Code Name															
Table Ref ID	Component Category Code	Component Category Code Name															

Section	Subsection	Existing AUC Rule 004 content			Changes to AUC Rule 004			Stakeholder comments dated August 23, 2016	AUC response
		1	5001	Distribution	1	5001	Distribution	EEA: EEA has no concerns. Encor: Encor has no concerns. ENMAX Customer Care: In favour. EPC: ENMAX Power supports this change.	
2	5002	Local access fee	2	5002	Local access fee				
3	5003	Rider	3	5003	Rider				
4	5004	Transmission	4	5004	Transmission				
5	5005	Service fees	5	5005	Service fees				
6	5006	Rebates (i.e. site government)	6	5006	Rebates (i.e. site government)				
7	5007	REA	7	5007	REA				
			8	5008	Provincial carbon levy				
	A5.25 Dispute code	Table A5.25 Dispute code A four-digit code representing a tariff bill file dispute code. Table A5-22. Dispute codes			Table A5.25 Dispute code A four-digit code representing a tariff bill file dispute code. Table A5-22. Dispute codes			AltaGas: No concerns with the proposed changes. ATCO Gas: ATCO Gas supports this change. Cognera: Fine. EEA: EEA has no concerns. Encor: Encor has no concerns. ENMAX Customer Care: In favour. EPC: ENMAX Power supports this change.	
Table Ref ID	Dispute Code	Dispute Code Name	Table Ref ID	Dispute Code	Dispute Code Name				
1	7000	Non-unique record ID	1	7000	Non-unique record ID				
2	7001	Failed site ownership	2	7001	Failed site ownership				
3	7003	Tariff bill period gap (with pervious tariff bill files)	3	7003	Tariff bill period gap (with pervious tariff bill files)				
4	7004	Tariff bill period overlap (with previous tariff bill files)	4	7004	Tariff bill period overlap (with previous tariff bill files)				
5	7005	Invalid usage value	5	7005	Invalid usage value				
6	7008	Misalignment of tariff bill periods with tariff bill period events	6	7008	Misalignment of tariff bill periods with tariff bill period events				
7	7009	Misalignment of usage periods with tariff bill period events	7	7009	Misalignment of usage periods with tariff bill period events				

Section	Subsection	Existing AUC Rule 004 content			Changes to AUC Rule 004			Stakeholder comments dated August 23, 2016	AUC response																		
		8	7010	Misalignment of charge periods with tariff bill period events	8	7010	Misalignment of charge periods with tariff bill period events																				
		9	7011	Current from dial reading does not match pervious to dial reading	9	7011	Current from dial reading does not match pervious to dial reading																				
		10	7012	Duplicate one-time charge	10	7012	Duplicate one-time charge																				
		11	7013	Invalid billing cycle (Site Header record)	11	7013	Invalid billing cycle (Site Header record)																				
		12	7014	Invalid meter rollover	12	7014	Invalid meter rollover																				
					13	7015	Provincial carbon levy dispute																				
A5.26 Customer Switch transaction status code		A5.26 CSA transaction status code A four-digit code representing the status of a CSA transaction. Table A5.23. CSA transaction status codes <table border="1" data-bbox="446 1036 1174 1219"> <thead> <tr> <th>Table Ref ID</th> <th>Transaction Status Code</th> <th>Transaction Status Name</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>0000</td> <td>Accept</td> </tr> <tr> <td>[...]</td> <td>[...]</td> <td>[...]</td> </tr> </tbody> </table>			Table Ref ID	Transaction Status Code	Transaction Status Name	1	0000	Accept	[...]	[...]	[...]	A5.26 CSA-Customer switch transaction status code A four-digit code representing the status of a retailer's CSA transaction. Table A5.23. CSA-Customer switch transaction status codes <table border="1" data-bbox="1298 1036 2026 1219"> <thead> <tr> <th>Table Ref ID</th> <th>Transaction Status Code</th> <th>Transaction Status Name</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>0000</td> <td>Accept</td> </tr> <tr> <td>[...]</td> <td>[...]</td> <td>[...]</td> </tr> </tbody> </table>			Table Ref ID	Transaction Status Code	Transaction Status Name	1	0000	Accept	[...]	[...]	[...]		
Table Ref ID	Transaction Status Code	Transaction Status Name																									
1	0000	Accept																									
[...]	[...]	[...]																									
Table Ref ID	Transaction Status Code	Transaction Status Name																									
1	0000	Accept																									
[...]	[...]	[...]																									
NEW A5.29 CLN transaction status codes					A5.29 Carbon levy exempt transaction status codes A four-digit code representing the status of a Retailer's Carbon Levy Exempt transaction. Table A5-26. Carbon levy exempt transaction status codes <table border="1" data-bbox="1298 1385 2077 1515"> <thead> <tr> <th>Status code</th> <th>Description</th> <th>Transaction</th> <th>Sender</th> <th>Recipient</th> </tr> </thead> <tbody> <tr> <td>0000</td> <td>Accept</td> <td>CLN</td> <td>Distributor</td> <td>Retailer</td> </tr> <tr> <td>2605</td> <td>Invalid retailer</td> <td>CLN</td> <td>Distributor</td> <td>Retailer</td> </tr> </tbody> </table>			Status code	Description	Transaction	Sender	Recipient	0000	Accept	CLN	Distributor	Retailer	2605	Invalid retailer	CLN	Distributor	Retailer	AltaGas: No concerns with the proposed changes. ATCO Gas: ATCO Gas supports this change. Cognera: Fine.				
Status code	Description	Transaction	Sender	Recipient																							
0000	Accept	CLN	Distributor	Retailer																							
2605	Invalid retailer	CLN	Distributor	Retailer																							

Section	Subsection	Existing AUC Rule 004 content	Changes to AUC Rule 004					Stakeholder comments dated August 23, 2016	AUC response
				ID				<p>DERS: Response Code (field name) – is referred to in the Appendix A additions as CLN Transaction Status Code, as noted above to be consistent with other transactions like CSA, may we suggest CLE transaction status code.</p> <p>EEA: EEA has no concerns.</p> <p>Encor: Encor has no concerns.</p> <p>ENMAX Customer Care: In favour.</p> <p>EPC: ENMAX Power supports this change.</p>	<p>As the status codes are related to the provincial carbon levy transactions, the name of Table A5.29 is changed to Carbon Levy Exempt transaction status codes.</p> <p>This change was consulted upon with the Carbon Levy Implementation Industry Consultation Group on September 8, 2016, via email. The group agreed to the change.</p>
			2607	Invalid retailer ID – not valid for this distributor	CLN	Distributor	Retailer		
			2608	Invalid retailer ID for site	CLN	Distributor	Retailer		
			2611	Invalid distributor ID	CLN	Distributor	Retailer		
			2612	Invalid distributor ID for this site	CLN	Distributor	Retailer		
			2613	Invalid site ID	CLN	Distributor	Retailer		
			2615	Site ID has been removed from the site catalogue	CLN	Distributor	Retailer		
			2624	Invalid number of fields in the transaction	CLN	Distributor	Retailer		
			2628	Invalid transaction ID	CLN	Distributor	Retailer		
			2629	Transaction ID field invalid – format, length	CLN	Distributor	Retailer		
			2630	Transaction Date Time field invalid – format, length	CLN	Distributor	Retailer		
			2631	Retailer ID field invalid – format, length	CLN	Distributor	Retailer		
			2632	Exempt Indicator field invalid – format, length	CLN	Distributor	Retailer		
			2633	Distributor ID field invalid – format, length	CLN	Distributor	Retailer		
			2634	Site ID field invalid – format, length	CLN	Distributor	Retailer		
			2635	Exempt Reason Code field invalid – format, length, missing	CLN	Distributor	Retailer		

Section	Subsection	Existing AUC Rule 004 content	Changes to AUC Rule 004	Stakeholder comments dated August 23, 2016	AUC response
NEW Appendix B. Transaction transport mechanism – VLTrader			<p>Appendix B – Transaction transport mechanism - VLTrader The current transport mechanism for exchanging transactions is VLTrader. A complete description of the version, standards, roles, responsibilities and guidelines required to exchange transactions can be found on the AUC website.</p> <p>B1 VLTrader software upgrades When coordinated deployment of a VLTrader upgrade or release proves necessary, the AUC will coordinate with market participants.</p> <p>B2 VLTrader outage communication</p> <p>(1) When a market participant has identified that its VLTrader cannot connect to another participant, the participant identifying the problem should contact the other market participant to which connection cannot be made and inform that participant of the VLTrader connection failure.</p> <p>(2) Whichever market participant is experiencing a VLTrader outage must inform all other impacted market participants of the VLTrader outage.</p> <p>(a) The following information shall be included in the VLTrader outage notification:</p> <p>(i) VLTrader outage start date and time and expected end date and time</p> <p>(ii) description of the VLTrader outage</p> <p>(iii) actions required by the connecting parties during or after the VLTrader outage</p> <p>(iv) contact person or group for questions or concerns</p> <p>(3) Changes to VLTrader outage duration shall be communicated and, if the length of the VLTrader outage is unknown, regular updates about the outage shall be sent.</p>	<p>AltaGas: No concerns with the proposed changes.</p> <p>ATCO Gas: ATCO Gas supports this change.</p> <p>Cognera: Fine.</p> <p>EEA: EEA has no concerns.</p> <p>Encor: Encor has no concerns.</p> <p>ENMAX Customer Care: In favour.</p> <p>EPC: ENMAX Power supports this change.</p>	

Section	Subsection	Existing AUC Rule 004 content	Changes to AUC Rule 004	Stakeholder comments dated August 23, 2016	AUC response
			(4) During a VLTrader outage market participants should repeat connection attempts for sending and receiving files until connection is restored. Market participants that do not continue to attempt connection risk their transactions being processed late.		