

Bulletin 2021-06

March 31, 2021

Repeal of Rule 030: Compliance with the Code of Conduct Regulation

On November 5, 2020 amendments to the *Code of Conduct Regulation* were enacted. With these changes, the Alberta Utilities Commission has repealed Rule 030: *Compliance with the Code of Conduct Regulation* to streamline compliance reporting and align the timeframe for compliance audits with the amended regulation on a go-forward basis. The repeal of Rule 030 is effective as of April 1, 2021.

The decision to repeal Rule 030 was made without stakeholder consultation as it was determined that this action would have no significant impact on stakeholders.

Organizations are required to submit to the Commission their annual compliance report in accordance with Section 33(1) of the *Code of Conduct Regulation*. To support this process, an [annual compliance report template](#) is provided with this bulletin and on the [AUC website](#), under Industry reference > Forms, templates and reference documents. No further compliance reports outside of those directed to be submitted under the regulation are required to be submitted.

Concerning audit frequency, the Commission has adopted a staggered approach to spread the audit engagements over a 10-year rolling cycle commencing in 2022. Audits will be prioritized based on risk of non-compliance, changes in circumstances, and resource capacity with the goal to complete all audits by 2028. Each utility will be notified of its scheduled audit at least three months in advance of the engagement. The following 10 utilities fall within the audit requirements under the regulation:

- a. Apex Utilities Inc.
- b. ATCO Ltd.
- c. Battle River Power Coop
- d. City of Lethbridge
- e. City of Red Deer
- f. Direct Energy Marketing Limited
- g. ENMAX Corporation
- h. EPCOR Utilities Inc.
- i. EQUUS REA Ltd.
- j. FortisAlberta Inc.

Please contact Fino Tiberi by telephone at 403-592-4410 or by email at fino.tiberi@auc.ab.ca if you have any questions related to the repeal of Rule 030.

Alberta Utilities Commission