



Rule	More information
001	<p>Rules of Practice</p> <p>Rule 001 ensures the conduct of a fair and efficient AUC proceeding. Rule 001 applies to all AUC proceedings and participants involved in such proceedings. This rule sets out the procedure for initiating a proceeding, giving notice, participating in a proceeding, including a written or oral hearing, filing of documents or evidence, and examining witnesses at an oral hearing. It also provides direction on how to request confidentiality, changes in process, or a decision on specific procedural matters.</p>
002	<p>Service Quality and Reliability Performance Monitoring and Reporting for Owners of Electric Distribution Systems and for Gas Distributors</p> <p>Rule 002 sets out minimum service standards and reliability performance monitoring for electric and natural gas distribution system owners.</p> <p>Performance measurement standards include:</p> <ul style="list-style-type: none"> <li>• Reporting on customer meter reading and billing accuracy.</li> <li>• Tariff billing accuracy between distribution system owners and the retail service provider.</li> <li>• Work completion performance measures.</li> <li>• Worker safety performance measures.</li> <li>• Interruption duration and frequency thresholds.</li> <li>• Post-final adjustments processed by month in accordance to Section 5 of Rule 021 for electricity service.</li> </ul> <p>Customer service standards set by this rule include:</p> <ul style="list-style-type: none"> <li>• Overall minimum requirements for customer satisfaction as measured by an annual survey of customers.</li> <li>• Customer satisfaction related to customer-initiated contact with the service provider.</li> <li>• Standards for average service disruption and duration of outages.</li> <li>• Meter reading service standards.</li> <li>• Customer appointments service standards.</li> <li>• Emergency response service standards.</li> <li>• Expectations for average phone call answering standards.</li> </ul> <p>Reports are submitted using a template on an annual and quarterly basis.</p>



# AUC

Alberta Utilities Commission

003	Service Quality and Reliability Performance Monitoring and Reporting for Regulated Rate Providers and Default Supply Providers	<p>Rule 003 sets out the minimum service standards provided to utility customers who are on the regulated rate (do not receive service from a retailer) from a default supply provider (for gas) or a regulated rate provider (for electricity).</p> <p>Customer service standards set by this rule include:</p> <ul style="list-style-type: none"><li>• Call answer performance measures.</li><li>• Billing performance standards.</li><li>• Overall minimum requirements for customer satisfaction as measured by an annual survey of customers.</li><li>• Customer satisfaction when a customer contacts the service provider.</li><li>• A service guarantee which may involve a credit to customers for disconnection or bill collection errors.</li></ul> <p>Reports are submitted using a template on an annual and quarterly basis.</p>
004	Alberta Tariff Billing Code Rules	<p>Rule 004 sets out the minimum obligations of an owner of an electric distribution system or of a gas distribution system to provide timely and accurate tariff bill-ready information to retailers. The rule defines business processes and mechanics for producing and transmitting the tariff bill-ready information. It also defines how retailers must operate to facilitate the transmittal of tariff bill-ready information.</p>
005	Annual Reporting Requirements of Financial and Operational Results	<p>Rule 005 requires utilities, default supply providers and regulated rate providers to annually submit a report detailing their financial and operational results for the year. For a utility, the information included is its revenue requirement, rate base, capital structure, debt capital, assets, depreciation. For a regulated rate provider, the information included is its income statement, revenue by customer class, energy and operating expense, capital assets, personnel.</p> <p>Each annual report also must contain audited financial statements, a completed reconciliation of the audited financial statements to the results reported under the rule and provide explanations of the variances reported on its</p>

		schedules in the respective appendices. The Commission may request additional information or detail on the financial information or the operational results provided.
006	Rules on Regulatory Audits	Rule 006 applies to regulatory audits of the financial or operational activities of utilities under the jurisdiction of the Commission. The rule requires a utility that is being audited to provide access to the information required for purposes of a regulatory audit. The rule also sets out the audit standards to be followed by an auditor and directs the preparation of an audit report.
007	Applications for Power Plants, Substations, Transmission Lines, Industrial System Designations and Hydro Developments	Rule 007 sets out application requirements for the construction, alteration, operation, and the discontinuation, dismantling and removal of power plants, substations, transmission lines, hydro developments and industrial system designations as well as approvals of a needs identification document. It details the information required for each application category such as a participant involvement program, technical information on the proposed facility, potential environmental impacts.
008	Rules Respecting Use of Abbreviated Needs Process	Rule 008 was repealed on April 1, 2015, and is no longer in effect.
009	Rules on Local Intervener Costs	Rule 009 outlines the process and requirements for local interveners to request reimbursement of certain costs related to participating in a facility proceeding or hearing. This rule only applies to local interveners, as defined in Section 22 of the Alberta Utilities Commission Act; who are a group or a person who has interest in and is occupying or entitled to occupy land that is, or may be, directly and adversely affected by an AUC decision. Typically a standing ruling is issued and local interveners are those who have been granted standing. Local interveners can apply for advance funding, or file an interim costs claim, and submit a final costs claim, within 30 days of the conclusion of a hearing. Fees may be claimed for a lawyer or a consultant. The scale of costs included in the rule sets fee recovery based on the experience of the lawyer or consultant and sets fixed rates for other costs.



# AUC

Alberta Utilities Commission

010	Rules on Standards for Requesting and Exchanging Site-Specific Historic Usage Information for Retail Electricity and Natural Gas Markets	Rule 010 details the business processes and rules that governs the provision of site-specific historic usage information from a distributor to a retailer.
011	Rate Application Process for Water Utilities	Rule 011 applies to rate applications for investor-owned water utilities with a small customer base. The rule provides that Commission staff may assist water utilities and its customers in developing just and reasonable rates. The reason for this assistance is to minimize regulatory costs.
012	Applications for Power Plants, Substations, Transmission Lines, Industrial System Designations and Hydro Developments	Rule 012 sets out requirements for noise control for facilities under the jurisdiction of the Commission. These include the permissible sound level to be met and the manner in which the permissible sound level is calculated. The filing of a noise impact assessment is required when applying to construct or alter a facility to show that the facility will meet the permissible sound level. The rule also provides an avenue for the submission of noise complaints relating to a facility and the process for addressing noise complaints.
013	Rules on Criteria Relating to the Imposition of Administrative Penalties	Rule 013 sets out the factors that the Commission considers in determining administrative penalties to ensure even-handed enforcement and protection of energy markets and consumers. Some of these factors are the seriousness of the contravention, self-reporting or cooperation of the person named in the contravention.
014	Rules Respecting the Public Disclosure of Market Surveillance Administrator Records in a Hearing or Other Proceeding	Rule 014 sets out requirements for proceedings initiated by the Market Surveillance Administrator. The rule addresses the public disclosure of records, notice, and the process for confidentiality requests, in these cases. The rule also applies to the filing of negotiated settlements by the Market Surveillance Administrator.



# AUC

Alberta Utilities Commission

015	Rules on Regulatory Audits Rules on Costs of Investigations, Hearings, or Other Proceedings Related to Contraventions	Rule 015 applies to the costs of an investigation, hearing, or other proceedings related to contraventions and includes a scale of costs. The Market Surveillance Administrator may apply to the Commission for an order for such costs against the person or company determined to be in contravention.
016	Review of Commission Decisions	Rule 016 sets out the requirements for a request to review a decision of the Commission and the factors that will be considered when determining whether a review will be granted. An application for a review of a decision must be submitted within 60 days of the issuance of a decision, however the Commission may review a decision on its own motion any time. An application for review must contain the information described in the rule.
017	Procedures and Process for Development of ISO Rules and Filing of ISO Rules with the Alberta Utilities Commission	Rule 017 sets out the consultation and filing requirements for the development, amendment or removal of ISO rules. The rule requires the Alberta Electric System Operator (independent system operator) to <a href="#">engage market participants, the Market Surveillance Administrator and other interested parties</a> (stakeholders) when an issue requires the development of an ISO rule and prior to submitting a draft ISO rule to the AUC for its consideration. The rule also includes the consultation and filing requirements for provisional rules required for the capacity market, as well as the filing requirements for expedited ISO rules.
018	Rules on Negotiated Settlements	Rule 018 sets out the requirements for applicants seeking to negotiate rates or a tariff with customers or their representatives.
019	Specified Penalties for Contravention of ISO Rules	<p>Rule 019 sets out the ISO rules for which the Market Surveillance Administrator may issue a notice of specified penalty to a market participant who has contravened the listed ISO rules. The rule includes a table specifying the applicable penalty based on the nature of the contravention and the regularity of the occurrence.</p> <p>The rule requires that a public notice of the penalty and self-reporting forms are posted by the Market Surveillance Administrator on the compliance section of its website.</p>



# AUC

Alberta Utilities Commission

020	Rules Respecting Gas Utility Pipelines	<p>Rule 020 sets the requirements for applications requesting approval to construct, operate or modify a gas utility pipeline. Gas utility pipelines under the jurisdiction of the Alberta Utilities Commission include B category pipelines (pipelines with less than 0.30 kilopascals partial pressure of hydrogen sulphide), pipeline installations, and storage at pipeline installations. A proponent must develop and implement a participant involvement program, establish of the need for the project, and include the required information on the proposed pipeline, and its potential impacts on the environment.</p>
021	Settlement System Code Rules	<p>Rule 021 defines the business processes and mechanics of how electrical energy settlement is to be carried out at the retail electricity (site/meter) level in Alberta. This rule sets out the requirements, responsibilities and standards to be followed for load settlement agents, distributors and meter data managers in order to facilitate the exchange of information amongst them.</p>
022	Rules on Costs in Utility Rate Proceedings	<p>Rule 022 outlines the application process and requirements for cost recovery for participating in a rate proceeding. An intervener who has a substantial interest in the subject matter of the proceeding and does not have the means to raise sufficient financial resources is eligible for costs.</p> <p>Eligible participants may file a costs claim within 30 days of the conclusion of a hearing or proceeding for reimbursement of legal and consultant fees incurred throughout the proceeding subject to the AUC's scale of costs. Rule 022 also includes a process for interveners to request an advance of funds or interim costs.</p>
023	Rules Respecting Payment of Interest	<p>Rule 023 provides a utility with the opportunity to recover interest costs resulting from regulatory lag or where revenue forecasts differ from actual results by more than the amount indicated in the rule. Adjustments for interest resulting from differences between interim and final approved rates will normally be excluded.</p>



# AUC

Alberta Utilities Commission

024	Rules Respecting Micro-Generation	Rule 024 applies to customers who intend to generate energy for their own use from a micro-generation generating unit that is capable of generating up to five megawatts of energy. The rule sets out the requirements that must be met before constructing and interconnecting a micro-generation unit to the distribution grid. It also sets out a process for disputes between micro-generation customers and the applicable wire owner regarding the costs to connect to the grid.
025	Administration Fee	<p>Rule 025 sets out how the Alberta Utilities Commission recovers its operating and capital costs from natural gas and electricity companies it regulates. The Alberta Utilities Commission is primarily funded by the administration fee it imposes on gas</p> <p>The administration fee is allocated to administration fee categories based on the AUC's services provided to each category. Orders to pay are issued to utilities and the independent system operator, on behalf of transmission facilities owners and wholesale electric market participants, twice per fiscal year. The current and historic administration fee charges can be found on the administration fee orders page.</p>
026	Regulatory Account Procedures Pertaining to the Implementation of the International Financial Reporting Standards	Rule 026 sets out requirements for all utilities adopting the International Financial Reporting Standards and the guiding principles on how the AUC will consider financial methodologies and other related matters when reviewing utility rate applications.
027	Specified Penalties for Contravention of Reliability Standards	Participants in the Alberta Interconnected Electric System must comply with reliability standards determined by the Alberta Electric System Operator and approved by the AUC. Alberta reliability standards are based on reliability standards developed by the North American Reliability Corporation and ensure the reliable operation of the Alberta Interconnected Electric System and increases the reliability of the entire North American grid. If the Market Surveillance Administrator identifies issues where market participants are not complying with the reliability standards, the Market Surveillance Administrator can issue a notice of specified penalty for the contravention

		<p>of a reliability standard. Rule 027 sets out the requirements for issuing a penalty to a market participant and includes a table specifying the applicable penalty based on the nature and the severity of the contravention.</p> <p>The public notice of the penalty and self-reporting forms be posted on the Market Surveillance Administrator on the compliance section of its website.</p>
028	Natural Gas Settlement System Code	<p>Rule 028 defines the business processes and mechanics of how natural gas settlement is to be carried out at the retail natural gas market (site/meter) level in Alberta. This rule sets out the requirements, responsibilities and code standards to be followed by load settlement agents, distributors and meter data managers in order to facilitate the exchange of information amongst them.</p>
029	Applications for Municipal Franchise Agreements and Associated Franchise Fee Rate Riders	<p>Rule 029 applies to applications requesting approval or amendment of a franchise agreement between a municipality and the applicable gas or electric distribution company that is granted access to the city, town or municipality. The fee is typically negotiated and agreed on by the municipality and the owner of the distribution system in the area, such as ATCO Electric Ltd., FortisAlberta Inc., ATCO Gas and Pipelines Ltd., and AltaGas Utilities Inc. Rule 029 requires customers to be notified of this agreement by newspaper notice or alternative means. Once the agreement is approved, the franchise fee rate rider appears on utility bills as a municipal franchise fee or local access fee.</p>
030	Compliance with the Code of Conduct Regulation	<p>Rule 030 sets out the rules to ensure that gas and electric distributors, their regulated rate suppliers and affiliated retailers comply with the Code of Conduct Regulation. The rule establishes processes for parties to submit varied compliance plans for approval, and timing of reports of instances of non-compliance including actions taken to remedy the non-compliance. The rule also includes details on audit cost recovery and timing of exemptions.</p>



# AUC

Alberta Utilities Commission

031	Conditional Exemption from Specific Financing and Reporting Requirements	Rule 031 sets out conditional exemptions for owners of a utility or a utility holding company from having to obtain Commission approval in advance of initiating certain issuances of equities and long-term debt and from certain operational reporting requirements.
032	Specified Penalties for Contravention of AUC Rules	Rule 032 sets out the specific financial penalties for contraventions of the AUC rules listed in the penalty table of the rule. This rule includes factors the AUC will consider when determining specified penalties, including self-reporting by energy service providers.
033	Post-approval monitoring requirements for wind and solar power plants	Rule 033 sets out the post-approval monitoring requirements for all wind and solar projects approved by the Commission on or after September 1, 2019. This rule establishes criteria that solar and wind approval holders must abide by pertaining to post-construction mitigation and monitoring.